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**MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES**

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|   |   |
|---|---|
| Name of stock broker/<br>trading member/clearing member   | <b>SW CAPITAL PVT. LTD.</b>   |
| SEBI Registration No. and date  | For NSE-CM INZ 230013039 & Dated: 01/11/1994<br>For NSE-F&O INZ 230013039 & Dated: 26/07/2000<br>For NSE-CD INZ 230013039 & Dated: 09/06/2011<br>For BSE-CASH INZ 010013035 & Dated: 26/12/2005<br>For BSE-F&O INZ 010013035 & Dated: 01/08/2011<br>For BSE-CD INZ 010013035 & Dated: 28/11/2014<br>For MSEIL-CD INZ 260013032 & Dated: 29/09/2008<br>For MSEIL-F&O INZ 260013032 & Dated: 11/01/2013<br>For MSEIL-CM INZ 260013032 & Dated: 11/01/2013<br>For CDSL IN-DP-CDSL-272-2004 Dated: 09/09/2009<br>NSE Member Code No.: 06553 • BSE Member Code No.: 3070<br>MSEIL Member Code No.: 38700 |
| <b>Clearing member: IL&amp;FS Securities Services Limited (ISSL)</b><br>IL&FS House, Raheja Vihar, Chandivali, Andheri (E), Mumbai - 400072 • Tel.: +91 22 42493000, Fax No.: +91 22 28570948 / 49  |   |
| <b>Segment &amp; Exchange</b>   | <b>SEBI Registration Number</b>   |
| Equity Derivatives Segment of BSE   | INF011133834  |
| Equity Derivatives Segment of NSE   | INF231133630  |
| Currency Derivatives Segment of BSE   | INE011311532  |
| Currency Derivatives Segment of NSE   | INE231308334  |
| Currency Derivatives Segment of MSEI  | INE261313337  |
| Registered office &<br>Correspondence<br>office address:  | 4th Floor Sunteck Centre, 37-40, Subhash Road, Vile Parle (East),<br>Mumbai - 400 057. • Tel.: +91-22 4268 7474 • Fax: +91-22-4268 7436.<br>E-mail: compliance@swcapital.in • Website: www.swcapital.in<br>Investor Grievance E-mail ID: grievances@swcapital.in  |
| Compliance officer name:<br>phone no. & email id:   | <b>Amit Pitale</b><br>022-4268 7431 • compliance@swcapital.in   |
| CEO/Director name:<br>phone no. & email id:   | <b>Pankaj Jain</b><br>022-4268 7430 • pankaj.jain@swcapital.in  |
| For any grievance/dispute please contact <b>SW CAPITAL PVT. LTD.</b> at the above address or email id: grievances@swcapital.in and Phone no. +91-22-4268 7431. In case not satisfied with the response, please contact the concerned exchange(s) on BSE Tel: 022 22728097, 22728517 • E-mail Id: is@bseindia.com, on NSE Toll Free No.: 18002660058 Fax: (022) 26598191 • E-mail Id: ignse@nse.co.in, on MSEIL Tel:- 022 61129028 • E-mail Id: investorcomplaints@msei.in |   |

Sign wherever you see 

**DISCLOSURE IN TERMS OF SEBI CIRCULAR NO.: SEBI/MRD/SE/CIR-42/2003 DATED NOVEMBER 19, 2003**  
SW Capital Pvt. Ltd. besides doing client based business also does its own investment and/or trading.  
“Proprietary Trading Disclosure noted”  


### Risk Assessment of Client in terms of PMLA 2002

| Type of Client | High Risk | Low Risk | Medium Risk | CSC<br>(Client Special<br>Category) | PEP<br>(Politically<br>Exposed Person) |
|----------------|-----------|----------|-------------|-------------------------------------|--|
|                |           |          |             |                                     |  |

Categorisation of client would be changed only if there is change based on risk assessment of the client during his dealings with SW Capital Pvt. Ltd.

**For SW Capital Pvt. Ltd.**

Authorised Signatory

**INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM**

**MANDATORY**

**A. IMPORTANT POINTS:**

1. Self attested copy of PAN card is mandatory for all clients. including Promoters/ Partners/Karta/Trustees and whole time directors and persons authorized to deal in securities on behalf of company/firm/others.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIOCard/OCICard and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/military officers, senior executives of state owned corporations, important political party officials, etc.

**B. Proof of Identity (POI):** - List of documents admissible as Proof of Identity:

1. PAN card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Unique Identification Number (UID) (Aadhaar) (Mandatory)/ Passport / Voter ID card / Driving license.
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

**C. Proof of Address (POA):** - List of documents admissible as Proof of Address:

(\*Documents having an expiry date should be valid on the date of submission.)

**F. In case of Non-Individuals, additional documents to be obtained from non-individuals, over & above the POI & POA, as mentioned below:**

1. Aadhaar (Mandatory)/Passport/Voters Identity Card/Ration Card/Registered Lease or Sale Agreement of Residence/Driving License/Flat Maintenance bill/Insurance Copy.
2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
3. Bank Account Statement/Passbook - Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/ Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/ Parliament/Documents issued by any Govt. or Statutory Authority.
6. Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
7. For FI/sub account, Power of Attorney given by FI/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

**D. Exemptions/clarifications to PAN**

(\*Sufficient documentary evidence in support of such claims to be collected.)

1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
4. SIP of Mutual Funds upto Rs 50, 000/- p.a.
5. In case of institutional clients, namely, FIs, MFs, VCFs, FVCI, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

**E. List of people authorized to attest the documents:**

1. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/ Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
2. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy /Consulate General in the country where the client resides are permitted to attest the documents.

| Types of entity  | Documentary requirements  |
|--|---|
| <b>Corporate</b>   | <ul style="list-style-type: none"> <li>• Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>• Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year).</li> <li>• Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations.</li> <li>• Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly.</li> <li>• Copies of the Memorandum and Articles of Association and certificate of incorporation.</li> <li>• Copy of the Board Resolution for investment in securities market.</li> <li>• Authorised signatories list with specimen signatures.</li> </ul> |
| <b>Partnership firm</b>                                    | <ul style="list-style-type: none"> <li>• Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>• Certificate of registration (for registered partnership firms only).</li> <li>• Copy of partnership deed.</li> <li>• Authorised signatories list with specimen signatures.</li> <li>• Photograph, POI, POA, PAN of Partners.</li> </ul>   |
| <b>Trust</b>   | <ul style="list-style-type: none"> <li>• Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>• Certificate of registration (for registered trust only). Copy of Trust deed.</li> <li>• List of trustees certified by managing trustees/CA.</li> <li>• Photograph, POI, POA, PAN of Trustees.</li> </ul>  |
| <b>HUF</b>   | <ul style="list-style-type: none"> <li>• PAN of HUF.</li> <li>• Deed of declaration of HUF/ List of coparceners.</li> <li>• Bank pass-book/bank statement in the name of HUF.</li> <li>• Photograph, POI, POA, PAN of Karta.</li> </ul>   |
| <b>Unincorporated Association or a body of individuals</b> | <ul style="list-style-type: none"> <li>• Proof of Existence/Constitution document.</li> <li>• Resolution of the managing body &amp; Power of Attorney granted to transact business on its behalf.</li> <li>• Authorized signatories list with specimen signatures.</li> </ul>   |
| <b>Banks/Institutional Investors</b>                       | <ul style="list-style-type: none"> <li>• Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years.</li> <li>• Authorized signatories list with specimen signatures.</li> </ul>   |
| <b>Foreign Institutional Investors (FII)</b>               | <ul style="list-style-type: none"> <li>• Copy of SEBI registration certificate.</li> <li>• Authorized signatories list with specimen signatures.</li> </ul>   |
| <b>Army/ Government Bodies</b>                             | <ul style="list-style-type: none"> <li>• Self-certification on letterhead.</li> <li>• Authorized signatories list with specimen signatures.</li> </ul>  |
| <b>Registered Society</b>                                  | <ul style="list-style-type: none"> <li>• Copy of Registration Certificate under Societies Registration Act.</li> <li>• List of Managing Committee members.</li> <li>• Committee resolution for persons authorised to act as authorised signatories with specimen signatures.</li> <li>• True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.</li> </ul>   |

|     |   |
|-----|---|
| LLP | <ul style="list-style-type: none"> <li>• Certified True Copy of LLP Deed</li> <li>• Copy of Pan Card of the Firm</li> <li>• Certified True Copy of Registration Certificate</li> <li>• Details of Firm (Form-3)</li> <li>• List of Designated Partners with their DPIN/DIN No.</li> <li>• Detail of Designated Partners (Form-4)</li> <li>• Passport size Photo of all Designated Partners</li> <li>• Copy of Pan Card of all Designated Partners</li> </ul> <p>Address Proof of all Designated Partners:</p> <ul style="list-style-type: none"> <li>• Valid Passport • Valid Voter's ID card Persons • Valid Driving License • Ration Card • Flat Maintenance Bill Individual (all partners)</li> <li>• Bank Pass Book along with bank statement (not more than 3 months old) • Landline Telephone Bill (not more than 2 months old)</li> <li>• Electricity Bill (not more than 2 months old)</li> </ul> |
|-----|---|

- G.  Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.
- H.  Demat master or recent holding statement issued by DP bearing name of the client.
- I. Additional documents in case of trading in **derivatives segments** - illustrative list:
- Copy of ITR Acknowledgement
  - Copy of Annual Accounts
  - In case of salary income - Salary Slip
  - Copy of Form 16
  - Net worth certificate
  - Copy of demat account holding statement
  - Bank account statement for last 6 months
  - Any other relevant documents substantiating ownership of assets.
  - Self declaration with relevant supporting documents.

\*In respect of other clients, documents as per risk management policy of the stock broker need to be provided by the client from time to time.

**J. For NRI (Non Resident Indian) Client**

- Latest colour photograph of NRI sign across the photograph
- Copy of PAN card of NRI
- Proof of Indian and Foreign address
- Bank proof of NRE / NRO Account
- In case client wants to trade in derivatives, letter to be submitted to NSE for Unique Client Code.
- In case of Indian passport (page containing date of expiry & visa also to be attached) - Valid Passport, Place of birth as India, Valid Visa- Work/ student/employment/resident permit etc.
- In case of foreign passport: (page containing date of expiry & visa also to be attached) Valid passport and of the following:
  - i) Place of Birth as India in foreign passport. ii) Copy of PIO/ OCI Card as applicable in case of PIO/ OCI.
- PIS permission Letter from the respective designated bank
- Overseas Address Driving License/ Foreign Passport/ Utility Bills/ Bank Statement (not more than 2 months old)/ Notarized copy of rent agreement/ leave & license agreement/ Sale deed.
- Proof of respective Bank accounts & depository accounts.

**Note:** All the photo copies of the proofs must be certified by the Indian Embassy/ consulate or Notary public or bank of that country. This requirement may be waived if the In-person verification of the client is conducted.

**For Individuals:**

- a. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-broker's office.
- b. In case of non-resident clients, employees at the stock broker's local office, overseas can do in-person' verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.

**For Non-Individuals:**

- a. Form need to be initialized by all the authorized signatories.
- b. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.

## CENTRAL KYC REGISTRY | INSTRUCTIONS / CHECK LIST / GUIDELINES FOR FILLING INDIVIDUAL KYC APPLICATION FORM

### General Instructions:

- 1 Fields marked with '\*' are mandatory fields.
- 2 Tick '✓' wherever applicable.
- 3 Self-Certification of documents is mandatory.
- 4 Please fill the form in English and in BLOCK Letters.
- 5 Please fill all dates in DD-MM-YYYY format.
- 6 Wherever state code and country code is to be furnished, the same should be the two-digit code as per Indian Motor Vehicle, 1988 and ISO 3166 country code respectively list of which is available at the end.
- 7 KYC number of applicant is mandatory for updation of KYC details.
- 8 For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.
- 9 In case of 'Small Account type' only personal details at section number 1 and 2, photograph, signature and self-certification required.

### A Clarification / Guidelines on filling 'Personal Details' section

- 1 **Name:** Please state the name with Prefix (Mr/Mrs/Ms/Dr/etc.). The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
- 2 Either **father's name or spouse's** name is to be mandatorily furnished. In case PAN is not available father's name is mandatory.

### B Clarification / Guidelines on filling details if applicant residence for tax purposes in jurisdiction(s) outside India

- 1 Tax identification Number (TIN): TIN need not be reported if it has not been issued by the jurisdiction. However, if the said jurisdiction has issued a high integrity number with an equivalent level of identification (a "Functional equivalent"), the same may be reported. Examples of that type of number for individual include, a social security/insurance number, citizen/personal identification/ services code/number, and resident registration number)

### C Clarification / Guidelines on filling 'Proof of Identity [PoI]' section

- 1 If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
- 2 Mention identification / reference number if 'Z- Others (any document notified by the central government)' is ticked.
- 3 In case of Simplified Measures Accounts for verifying the identity of the applicant, any one of the following documents can also be submitted and undernoted relevant code may be mentioned in point 3 (S).

#### Document Code Description

- |    |   |
|----|---|
| 01 | Identity card with applicants's photograph issued by Central/ State Government Departments, Statutory/ Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, and Public Financial Institutions. |
| 02 | Letter issued by a gazetted officer, with a duly attested photograph of the person.   |

### D Clarification / Guidelines on filling 'Proof of Address [PoA] - Current / Permanent / Overseas Address details' section

- 1 PoA to be submitted only if the submitted PoI does not have an address or address as per PoI is invalid or not in force.
- 2 State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
- 3 In case of Simplified Measures Accounts for verifying the address of the applicant, any one of the following documents can also be submitted and undernoted relevant code may be mentioned in point 4.1.

#### Document Code Description

- |    |  |
|----|--|
| 01 | Utility bill which is not more than two months old of any service provider (electricity, telephone, postpaid mobile phone, piped gas, water bill).   |
| 02 | Property or Municipal Tax receipt.   |
| 03 | Bank account or Post Office savings bank account statement.  |
| 04 | Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address.  |
| 05 | Letter of allotment of accommodation from employer issued by State or Central Government departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies. Similarly, leave and license agreements with such employers allotting official accommodation. |
| 06 | Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India.  |

### E Clarification / Guidelines on filling 'Proof of Address [PoA] - Correspondence / Local Address detail's section

- 1 To be filled only in case the PoA is not the local address or address where the customer is currently residing. No separate PoA is required to be submitted.
- 2 In case of multiple correspondence / local addresses, Please fill 'Annexure A1'

### F Clarification / Guidelines on filling 'Contact details' section

- 1 Please mention two- digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999).
- 2 Do not add '0' in the beginning of Mobile number.

### G Clarification / Guidelines on filling 'Related Person details' section

- 1 Provide KYC number of related person if available.

### H Clarification / Guidelines on filling 'Related Person details - Proof of Identity [PoI] of Related Person' section

- 1 Mention identification / reference number if 'Z- Others (any document notified by the central government)' is ticked.

**CENTRAL KYC REGISTRY - KNOW YOUR CLIENT (KYC) APPLICATION FORM - INDIVIDUAL MANDATORY**

**Important Instructions:**

- A) Fields marked with '\*' are mandatory fields.
- B) Please fill the form in English and in BLOCK letters.
- C) Please fill the date in DD-MM-YYYY format.
- D) Please read section wise detailed guidelines / instructions at the end.
- E) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.

**Sw Capital Pvt. Ltd.**

- F) List of two character ISO 3166 country codes is available at the end.
- G) KYC number of applicant is mandatory for update application.
- H) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.



**For office use only**          Application Type\*  New  Update  
 (To be filled by financial institution) KYC No. \_\_\_\_\_ (Mandatory for KYC update required)  
 Account Type\*  Normal  Simplified (for low risk customers)  Small

**1. PERSONAL DETAILS (Please refer instruction A at the end)**

|   |   |   |   |   |
|---|---|---|---|---|
|   | Prefix  | First Name  | Middle Name                               | Last Name   |
| <input type="checkbox"/> Name* (Same as ID proof) | _____   | _____   | _____                                     | _____   |
| Maiden Name (If any*)                             | _____   | _____   | _____                                     | _____   |
| Father / Spouse Name*                             | _____   | _____   | _____                                     | _____   |
| Mother Name*                                      | _____   | _____   | _____                                     | _____   |
| Date of Birth*                                    | __-__-____  |   |   |   |
| Gender*   | <input type="checkbox"/> M- Male  | <input type="checkbox"/> F- Female                            | <input type="checkbox"/> T-Transgender    |   |
| Marital Status*                                   | <input type="checkbox"/> Married  | <input type="checkbox"/> Unmarried                            | <input type="checkbox"/> Others           |   |
| Citizenship*                                      | <input type="checkbox"/> IN-Indian  | <input type="checkbox"/> Others (ISO 3166 Country Code ____ ) |   |   |
| Residential Status*                               | <input type="checkbox"/> Resident Individual  | <input type="checkbox"/> NRI                                  | <input type="checkbox"/> Foreign National | <input type="checkbox"/> Person of Indian Origin                        |
| Occupation Type*                                  | <input type="checkbox"/> S-Service ( <input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Sector)<br><input type="checkbox"/> O-Others ( <input type="checkbox"/> Professional <input type="checkbox"/> Self Employed <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student) |   |   | PHOTO<br><br><br><br><br><br><br><br><br><br>Signature/Thumb impression |
|   | <input type="checkbox"/> B-Business <input type="checkbox"/> X-Not Categorised  |   |   |   |

**2. TICK IF APPLICABLE RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA (Please refer instruction B at the end)**

**ADDITIONAL DETAILS REQUIRED\*** (Mandatory only if section 2 is ticked)  
 ISO 3166 Country Code of Jurisdiction of Residence\* \_\_\_\_\_  
 Tax Identification Number or equivalent (If issued by jurisdiction)\* \_\_\_\_\_  
 Place / City of Birth\* \_\_\_\_\_ ISO 3166 Country Code of Birth\* \_\_\_\_\_

**3. PROOF OF IDENTITY (Please refer instruction C at the end)**

(Certified copy of any one of the following Proof of Identity [PoI] needs to be submitted)

- A- Passport Number \_\_\_\_\_ Passport Expiry Date \_\_\_\_\_-\_\_\_\_-\_\_\_\_\_
- B- Voter ID Card \_\_\_\_\_
- C- PAN Card \_\_\_\_\_
- D- Driving Licence \_\_\_\_\_ Driving Licence Expiry Date \_\_\_\_\_-\_\_\_\_-\_\_\_\_\_
- E- UID (Aadhaar) \_\_\_\_\_
- F- NREGA Job Card \_\_\_\_\_
- Z- Others (any document notified by the central government) \_\_\_\_\_ Identification No. \_\_\_\_\_
- S- Simplified Measures Account - Document Type code \_\_\_\_\_ Identification No. \_\_\_\_\_

**4. PROOF OF ADDRESS (POA)\***

**4.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS (Please see instruction D at the end)**

(Certified copy of any one of the following Proof of Address [PoA] needs to be submitted)

Address Type\*  Residential / Business  Residential  Business  Registered Office  Unspecified

Proof of Address\*  Passport  Driving Licence  UID (Aadhaar)  Voter Identity Card  NREGA Job Card

Simplified Measures A/c.-Document Type code \_\_\_\_\_  Others \_\_\_\_\_

Address

Line 1\* \_\_\_\_\_

Line 2 \_\_\_\_\_

Line 3 \_\_\_\_\_ City / Town / Vilage\* \_\_\_\_\_

District\* \_\_\_\_\_ PIN/Post Code\* \_\_\_\_\_ State /U. T. Code\* \_\_\_\_\_ ISO 3166 Country Code\* \_\_\_\_\_

**4.2 Correspondence/Local ADDRESS DETAILS\* (Please see instruction E at the end)**

Same as Current / Permanent / Overseas Address details (In case of multiple correspondence / local addresses, please fill 'Annexure A1')

|           |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|-----------|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|
| Line 1*   |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Line 2    |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Line 3    |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| District* |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|           |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |

**4.3 ADDRESS IN THE JURISDICTION DETAILS WHERE APPLICANT IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSES\* (Applicable if section 2 is ticked)**

Same as Current / Permanent / Overseas Address details       Same as Correspondence / Local Address details

|         |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|---------|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|
| Line 1* |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Line 2  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Line 3  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| State*  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|         |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |

**5. CONTACT DETAILS (All communications will be sent on provided Mobile no. / Email-ID) (Please refer instruction F at the end)**

|            |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|------------|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|
| Tel. (Off) |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Tel. (Res) |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Mobile     |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Fax        |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Email ID   |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |

**6. DETAILS OF RELATED PERSON (In case of additional related persons, please fill 'Annexure B1') (please refer instruction G at the end)**

Addition of Related Person     Deletion of Related Person    KYC Number of Related Person (if available\*)

Related Person Type\*     Guardian of Minor     Assignee     Authorised Representative

|        |            |             |           |
|--------|------------|-------------|-----------|
| Prefix | First Name | Middle Name | Last Name |
|        |            |             |           |

(If KYC number and name are provided, below details of section 6 are optional)

PROOF OF IDENTITY [PoI] OF RELATED PERSON\* (Please see instruction (H) at the end)

|  |  |                             |            |
|--|--|-----------------------------|------------|
| <input type="checkbox"/> A-Passport Number   |  | Passport Expiry Date        | DD-DD-YYYY |
| <input type="checkbox"/> B-Voter ID Card   |  |                             |            |
| <input type="checkbox"/> C- PAN Card   |  |                             |            |
| <input type="checkbox"/> D- Driving Licence  |  | Driving Licence Expiry Date | DD-DD-YYYY |
| <input type="checkbox"/> E- UID (Aadhaar)  |  |                             |            |
| <input type="checkbox"/> F- NREGA Job Card   |  |                             |            |
| <input type="checkbox"/> Z- Others (any document notified by the central government) |  | ID No.                      |            |
| <input type="checkbox"/> S- Simplified Measures Account - Document Type code         |  | ID No.                      |            |

**7. REMARKS (If any)**

|  |
|--|
|  |
|--|

**8. APPLICANT DECLARATION**

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.
- I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date: DD-DD-YYYY    Place:    Signature / Thumb Impression of Applicant

**9. ATTESTATION / FOR OFFICE USE ONLY**

Documents Received  Certified Copies      IPV Done  on dd/mm/yyyy

|                                 |              |                     |                      |
|---------------------------------|--------------|---------------------|----------------------|
| KYC VERIFICATION CARRIED OUT BY |              | INSTITUTION DETAILS |                      |
| Date:                           |              | Name                | Sw Capital Pvt. Ltd. |
| Emp. Name:                      |              | Code                |                      |
| Emp. Code:                      | Emp. Branch: | [Institution Stamp] |                      |
| Emp. Designation:               |              |                     |                      |
| [Employee Signature]            |              |                     |                      |

KNOW YOUR CLIENT (KYC) APPLICATION FORM

**MANDATORY**

*For Non-Individuals*

Please fill this form in **ENGLISH** and in **BLOCK LETTERS**.

| IDENTITY DETAILS  |                                       |                        |           |   |  |              |  |
|---|---------------------------------------|------------------------|-----------|---|--|--------------|--|
| Name of the Applicant   |                                       |                        |           |   |  |              |  |
| Date of incorporation   |                                       | Place of incorporation |           |   |  |              |  |
| Date of commencement of business  |                                       |                        |           |   |  |              |  |
| PAN   | Registration No. (e.g. CIN)           |                        |           |   |  |              |  |
| Status (please tick any one): <input type="checkbox"/> Private Limited Co. <input type="checkbox"/> Public Ltd. Co. <input type="checkbox"/> Body Corporate <input type="checkbox"/> Partnership <input type="checkbox"/> Trust   |                                       |                        |           |   |  |              |  |
| <input type="checkbox"/> Charities <input type="checkbox"/> NGO's <input type="checkbox"/> FI <input type="checkbox"/> FII <input type="checkbox"/> HUF <input type="checkbox"/> AOP <input type="checkbox"/> Bank <input type="checkbox"/> Government Body <input type="checkbox"/> Non-Government Organization <input type="checkbox"/> Defense Establishment <input type="checkbox"/> BOI <input type="checkbox"/> Society <input type="checkbox"/> LLP <input type="checkbox"/> Others (please specify) |                                       |                        |           |   |  |              |  |
| ADDRESS DETAILS   |                                       |                        |           |   |  |              |  |
| Correspondence Address  |                                       |                        |           | Registered Address (If different from Correspondence Address) |  |              |  |
|   |                                       |                        |           |   |  |              |  |
|   |                                       |                        |           |   |  |              |  |
| City  |                                       | Pin                    |           | City  |  | Pin          |  |
| State   |                                       | Country                |           | State   |  | Country      |  |
| Resi No. (s)  |                                       | Off. No. (s)           |           | Resi No. (s)  |  | Off. No. (s) |  |
| Fax No. (s)   |                                       |                        |           | Fax No. (s)   |  |              |  |
| Mobile No.  |                                       |                        |           | Mobile No.  |  |              |  |
| Email   |                                       |                        |           | Email   |  |              |  |
| Specify the proof of add. submitted for Corps. Add.   |                                       |                        |           | Specify the proof of add. submitted for Regd. Add.            |  |              |  |
|   |                                       |                        |           |   |  |              |  |
| OTHER DETAILS   |                                       |                        |           |   |  |              |  |
| Name, PAN, residential address and photographs of Promoters/Partners/Karta/Trustees and whole time directors: Please provide details on Annexure - A attached.  |                                       |                        |           |   |  |              |  |
| DIN of whole time directors: Provide details on Annexure - A attached.  |                                       |                        |           |   |  |              |  |
| Aadhaar number of Promoters/Partners/Karta: Provide details on Annexure - A attached.   |                                       |                        |           |   |  |              |  |
|   |                                       |                        |           |   |  |              |  |
| DECLARATION   |                                       |                        |           |   |  |              |  |
| I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/We undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we aware that I/we may be held liable for it.   |                                       |                        |           |   |  |              |  |
| Name & Signature of the Authorised Signatory  |                                       |                        |           | Signature   |  | ✍            |  |
| Place   |                                       | Date                   | Signature |   |  |              |  |
| FOR OFFICE USE ONLY   |                                       |                        |           |   |  |              |  |
| <input type="checkbox"/> Originals verified and Self-Attested document copies received  | Signature of the Authorised Signatory |                        |           | Seal/Stamp of the intermediary                                |  |              |  |
|   | Name                                  |                        |           |   |  |              |  |
|   | Signature                             |                        |           |   |  |              |  |
|   | Designation                           |                        |           |   |  |              |  |
|   | Date                                  |                        |           |   |  |              |  |
|   |                                       |                        |           |   |  |              |  |



**Annexure - A**

**MANDATORY**

**Photographs of Promoters / Partners / Karta / Trustees / and Whole time directors and of persons authorized to deal in securities**

Name of Applicant: \_\_\_\_\_ PAN of the Applicant:

|   |  |
|---|--|
| Name: _____<br>Regd./Residential Address: _____<br>_____<br>Tel. No.: _____ Mobile No.: _____<br>PAN: _____ DIN.: _____<br>Unique Identification Number(UID) / AADHAAR if Any: _____<br><b>Relationship with Applicant: Promoters / Partners / Karta / Trustees / Whole Time Directors / Authorised Person</b><br>Please tick, if applicable: <input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (RPEP) <input type="checkbox"/> No | <b>PHOTOGRAPH</b><br>Please affix your recent passport size photograph and sign across it excluding face |
|---|--|

|   |  |
|---|--|
| Name: _____<br>Regd./Residential Address: _____<br>_____<br>Tel. No.: _____ Mobile No.: _____<br>PAN: _____ DIN.: _____<br>Unique Identification Number(UID) / AADHAAR if Any: _____<br><b>Relationship with Applicant: Promoters / Partners / Karta / Trustees / Whole Time Directors / Authorised Person</b><br>Please tick, if applicable: <input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (RPEP) <input type="checkbox"/> No | <b>PHOTOGRAPH</b><br>Please affix your recent passport size photograph and sign across it excluding face |
|---|--|

|   |  |
|---|--|
| Name: _____<br>Regd./Residential Address: _____<br>_____<br>Tel. No.: _____ Mobile No.: _____<br>PAN: _____ DIN.: _____<br>Unique Identification Number(UID) / AADHAAR if Any: _____<br><b>Relationship with Applicant: Promoters / Partners / Karta / Trustees / Whole Time Directors / Authorised Person</b><br>Please tick, if applicable: <input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (RPEP) <input type="checkbox"/> No | <b>PHOTOGRAPH</b><br>Please affix your recent passport size photograph and sign across it excluding face |
|---|--|

|   |  |
|---|--|
| Name: _____<br>Regd./Residential Address: _____<br>_____<br>Tel. No.: _____ Mobile No.: _____<br>PAN: _____ DIN.: _____<br>Unique Identification Number(UID) / AADHAAR if Any: _____<br><b>Relationship with Applicant: Promoters / Partners / Karta / Trustees / Whole Time Directors / Authorised Person</b><br>Please tick, if applicable: <input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (RPEP) <input type="checkbox"/> No | <b>PHOTOGRAPH</b><br>Please affix your recent passport size photograph and sign across it excluding face |
|---|--|

Name, Company Stamp & Signature of the Authorised Signatory(ies)      Date //

| BANK ACCOUNT(S) DETAILS |          |                                   |          |             |           |
|-------------------------|----------|-----------------------------------|----------|-------------|-----------|
| No.                     | MICR No. | Bank Name, Branch Add. & Tel. No. | A/c Type | Account No. | IFSC Code |
| 1                       |          |                                   |          |             |           |
| 2                       |          |                                   |          |             |           |

Please provide Cancelled Cheque leaf for MICR &amp; IFSC Code

| DEPOSITORY ACCOUNT(S) DETAILS |         |                 |           |       |                  |
|-------------------------------|---------|-----------------|-----------|-------|------------------|
| Sr. No.                       | DP Name | Depository Name | DP ID No. | BO ID | Beneficiary Name |
| 1*                            |         |                 |           |       |                  |
| 2                             |         |                 |           |       |                  |

\*Shares bought by you will be transferred to your DP A/c stated above in Sr. No. 1

| TRADING PREFERENCES  |                          |                          |                          |
|--|--------------------------|--------------------------|--------------------------|
| *Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client. |                          |                          |                          |
| Ex. Segment  | Cash                     | Derivatives              | Currency Derivatives     |
| BSE  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|  | Date:                    | Date:                    | Date:                    |
| NSE  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|  | Date:                    | Date:                    | Date:                    |
| MSEIL  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|  | Date:                    | Date:                    | Date:                    |

# If, in future, the client wants to trade on any new segment / new exchange, separate authorization / letter should be taken from the client by the stock broker.

| OTHER DETAILS   |   |
|---|---|
| 1. Gross Annual Income details (please specify) : Income Range per annum  |   |
| <input type="checkbox"/> Upto Rs. 1,00,000/- <input type="checkbox"/> Rs. 1,00,001/- to Rs. 5,00,000/- <input type="checkbox"/> Rs. 5,00,001/- to Rs. 10,00,000/-<br><input type="checkbox"/> Rs. 10,00,001/- to Rs. 25,00,000/- <input type="checkbox"/> Rs. 25,00,001/- to Rs. 100,00,000/- <input type="checkbox"/> Above Rs. 100,00,001/-<br>Net worth as on Date : _____ Rs. _____ (Net worth should not be older than 1 year) |   |
| 2. Occupation (please tick any one and give brief details)  | <input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Student<br><input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Others |
| 3. Please tick, if applicable   | <input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP)  |
| 4. Is the entity involved/providing any of the following services <input type="checkbox"/> YES <input type="checkbox"/> NO  | For NI only   |
| - For Foreign Exchange / Money Changer Services <input type="checkbox"/> YES <input type="checkbox"/> NO   - Gaming / Gambling / Lottery Services<br>(e.g. casinos, betting syndicates) <input type="checkbox"/> YES <input type="checkbox"/> NO<br>- Money Lending / Pawning <input type="checkbox"/> YES <input type="checkbox"/> NO  |   |
| 5. Any other information  |   |

| <b>PAST ACTIONS</b>  |  |
|--|--|
| Details of any action/proceedings initiated/pending/ taken by SEBI/ Stock exchange/any other authority against the applicant/constituent or its Partners/promoters/whole time directors/authorized persons in charge of dealing in securities during the last 3 years: |  |


| <b>DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS</b>                 |  |                     |                     |
|---|--|---------------------|---------------------|
| If client is dealing through the sub-broker, provide the following details: |  |                     |                     |
| Name  |  | BSE SEBI Reg. No.   |                     |
| Regd. Off.  |  | NSE SEBI Reg. No.   |                     |
| Address   |  | MSEIL SEBI Reg. No. |                     |
| Signature<br>X  |  | Tel. No.            | Remisier/AP (BSE)   |
|   |  | Fax No.             | Remisier/AP (NSE)   |
|   |  | Website             | Remisier/AP (MSEIL) |

| Whether dealing with any other stock broker/sub-broker (if in case dealing with multiple stock brokers/sub-brokers, provide details of all)   |  |                            |  |             |  |
|---|--|----------------------------|--|-------------|--|
| Name of Stock Broker  |  | Name of Sub-Broker, if any |  | Client Code | Exchange   |
| Details of disputes/dues pending from/to such stock broker/sub- broker:   |  |                            |  |             |  |
| ADDITIONAL DETAILS  |  |                            |  |             |  |
| Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify):  |  |                            |  |             | <input type="checkbox"/> ECN <input type="checkbox"/> Physical |
| Specify your Email id, if applicable:   |  |                            |  |             |  |
| Whether you wish to avail of the facility of internet trading/ wireless technology (please specify):  |  |                            |  |             | <input type="checkbox"/> YES <input type="checkbox"/> NO       |
| Number of years of Investment/Trading Experience:   |  |                            |  |             |  |
| In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of company/firm/others: _____ |  |                            |  |             |  |
| Any other information   |  |                            |  |             |  |

| <b>INTRODUCER DETAILS (Optional)</b>   |  |   |  |
|--|--|---|--|
| Name   |  | Signature   |  |
| Add. / Tel.  |  | X   |  |
| Status of the Introducer: Sub Broker / Remisier / Authorized Person / Existing Client / Others, please specify _____ |  |   |  |
| NOMINATION DETAILS (FOR INDIVIDUAL ONLY)   |  |   |  |
| <input type="checkbox"/> I / We wish to nominate   |  | <input type="checkbox"/> I / We do not wish to nominate |  |
| Name of Nominee  |  | Relation with Nominee                                   |  |
| Address  |  | PAN No.   |  |
|  |  | Tel. No.  |  |
| <b>If Nominee is a minor, details of Guardian</b>  |  | Date of Birth   |  |
| Name of Guardian   |  |   |  |
| Address & Tel No.  |  | Signature of Guardian                                   |  |
| Witnesses (Only applicable in case the account holder has made nomination)   |  |   |  |
| Name   |  | Name  |  |
| Address  |  | Address   |  |
| Signature  |  | Signature   |  |

**DECLARATION**

1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.
2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any.

|       |  |      |   |  |
|-------|--|------|---|--|
| Name  |  |      | Signature   |  |
| Place |  | Date |  |  |

| FOR OFFICE USE ONLY               |                                  |                                |
|-----------------------------------|----------------------------------|--------------------------------|
| UCC Code allotted to the Client:  |                                  |                                |
| Documents verified with Originals | Client Interviewed / Approved by | In person Verification done by |
| Name of the employee              |                                  |                                |
| Signature                         |                                  |                                |
| Designation of the employee       |                                  |                                |
| Employee Code                     |                                  |                                |
| Date                              |                                  |                                |

I/We undertake that we have made the client aware of 'Policy and Procedures', tariff sheet and all the non-mandatory documents.

I/We have also made the client aware of 'Rights and Obligations' document (s), RDD and Guidance Note. I/We have given/sent him a copy of all the KYC documents. I/We undertake that any change in the 'Policy and Procedures', tariff sheet and all the non-mandatory documents would be duly intimated to the clients. I/We also undertake that any change in the 'Rights and Obligations' and RDD would be made available on my/our website, if any, for the information of the clients.

Date: \_\_\_\_\_

Signature of the Authorised Signatory

Seal/Stamp of the stock broker

**RIGHTS AND OBLIGATIONS OF STOCK BROKERS, SUB-BROKERS AND CLIENTS  
as prescribed by SEBI and Stock Exchanges**

1. The client shall invest/trade in those securities/contracts/other instruments admitted to dealings on the Exchanges as defined in the Rules, Byelaws and Regulations of Exchanges/ Securities and Exchange Board of India (SEBI) and circulars/notices issued there under from time to time.
2. The stock broker, sub-broker and the client shall be bound by all the Rules, Byelaws and Regulations of the Exchange and circulars/notices issued there under and Rules and Regulations of SEBI and relevant notifications of Government authorities as may be in force from time to time.
3. The client shall satisfy itself of the capacity of the stock broker to deal in securities and/or deal in derivatives contracts and wishes to execute its orders through the stock broker and the client shall from time to time continue to satisfy itself of such capability of the stock broker before executing orders through the stock broker.
4. The stock broker shall continuously satisfy itself about the genuineness and financial soundness of the client and investment objectives relevant to the services to be provided.
5. The stock broker shall take steps to make the client aware of the precise nature of the Stock broker's liability for business to be conducted, including any limitations, the liability and the capacity in which the stock broker acts.
6. The sub-broker shall provide necessary assistance and co-operate with the stock broker in all its dealings with the client(s).

**CLIENT INFORMATION**

7. The client shall furnish all such details in full as are required by the stock broker in "Account Opening Form" with supporting details, made mandatory by stock exchanges/SEBI from time to time.
8. The client shall familiarize himself with all the mandatory provisions in the Account Opening documents. Any additional clauses or documents specified by the stock broker shall be non-mandatory, as per terms & conditions accepted by the client.
9. The client shall immediately notify the stock broker in writing if there is any change in the information in the 'account opening form' as provided at the time of account opening and thereafter; including the information on winding up petition/insolvency petition or any litigation which may have material bearing on his capacity. The client shall provide/update the financial information to the stock broker on a periodic basis.
10. The stock broker and sub-broker shall maintain all the details of the client as mentioned in the account opening form or any other information pertaining to the client, confidentially and that they shall not disclose the same to any person/authority except as required under any law/regulatory requirements. Provided however that the stock broker may so disclose information about his client to any person or authority with the express permission of the client.

**MARGINS**

11. The client shall pay applicable initial margins, withholding margins, special margins or such other margins as are considered necessary by the stock broker or the Exchange or as may be directed by SEBI from time to time as applicable to the segment(s) in which the client trades. The stock broker is permitted in its sole and absolute discretion to collect additional margins (even though not required by the Exchange, Clearing House/Clearing Corporation or SEBI) and the client shall be obliged to pay such margins within the stipulated time.
12. The client understands that payment of margins by the client does not necessarily imply complete satisfaction of all dues. In spite of consistently having paid margins, the client may, on the settlement of its trade, be obliged to pay (or entitled to receive) such further sums as the contract may dictate/require.

**TRANSACTIONS AND SETTLEMENTS**

13. The client shall give any order for buy or sell of a security/derivatives contract in writing or in such form or manner, as may be mutually agreed between the client and the stock broker. The stock broker shall ensure

- to place orders and execute the trades of the client, only in the Unique Client Code assigned to that client.
14. The stock broker shall inform the client and keep him apprised about trading/settlement cycles, delivery/payment schedules, any changes therein from time to time, and it shall be the responsibility in turn of the client to comply with such schedules/procedures of the relevant stock exchange where the trade is executed.
  15. The stock broker shall ensure that the money/securities deposited by the client shall be kept in a separate account, distinct from his/its own account or account of any other client and shall not be used by the stock broker for himself/itself or for any other client or for any purpose other than the purposes mentioned in Rules, Regulations, circulars, notices, guidelines of SEBI and/or Rules, Regulations, Bye-laws, circulars and notices of Exchange.
  16. Where the Exchange(s) cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled, stock broker shall be entitled to cancel the respective contract(s) with client(s).
  17. The transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges where the trade is executed and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Byelaws and Regulations of the Exchanges where the trade is executed for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchanges and the circulars/notices issued thereunder.

#### **BROKERAGE**

18. The Client shall pay to the stock broker brokerage and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that stock broker renders to the Client. The stock broker shall not charge brokerage more than the maximum brokerage permissible as per the rules, regulations and bye-laws of the relevant stock exchanges and/or rules and regulations of SEBI.

#### **LIQUIDATION AND CLOSE OUT OF POSITION**

19. Without prejudice to the stock broker's other rights (including the right to refer a matter to arbitration), the client understands that the stock broker shall be entitled to liquidate/close out all or any of the client's positions for non-payment of margins or other amounts, outstanding debts, etc. and adjust the proceeds of such liquidation/close out, if any, against the client's liabilities/obligations. Any and all losses and financial charges on account of such liquidation/closing-out shall be charged to and borne by the client.
20. In the event of death or insolvency of the client or his/its otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold, stock broker may close out the transaction of the client and claim losses, if any, against the estate of the client. The client or his nominees, successors, heirs and assignee shall be entitled to any surplus which may result there from. The client shall note that transfer of funds/securities in favor of a Nominee shall be valid discharge by the stock broker against the legal heir.
21. The stock broker shall bring to the notice of the relevant Exchange the information about default in payment/delivery and related aspects by a client. In case where defaulting client is a corporate entity/partnership/proprietary firm or any other artificial legal entity, then the name(s) of Director(s)/Promoter(s)/Partner(s)/Proprietor as the case may be, shall also be communicated by the stock broker to the relevant Exchange(s).

#### **DISPUTE RESOLUTION**

22. The stock broker shall provide the client with the relevant contact details of the concerned Exchanges and SEBI.
23. The stock broker shall co-operate in redressing grievances of the client in respect of all transactions routed through it and in removing objections for bad delivery of shares, rectification of bad delivery, etc.
24. The client and the stock broker shall refer any claims and/or disputes with respect to deposits, margin money, etc., to arbitration as per the Rules, Byelaws and Regulations of the Exchanges where the trade is executed and circulars/notices issued thereunder as may be in force from time to time.
25. The stock broker shall ensure faster settlement of any arbitration proceedings arising out of the transactions entered into between him vis-à-vis the client and he shall be liable to implement the arbitration awards made in such proceedings.

26. The client/stock-broker understands that the instructions issued by an authorized representative for dispute resolution, if any, of the client/stock-broker shall be binding on the client/stock-broker in accordance with the letter authorizing the said representative to deal on behalf of the said client/stock-broker.

#### **TERMINATION OF RELATIONSHIP**

27. This relationship between the stock broker and the client shall be terminated; if the stock broker for any reason ceases to be a member of the stock exchange including cessation of membership by reason of the stock broker's default, death, resignation or expulsion or if the certificate is cancelled by the Board.
28. The stock broker, sub-broker and the client shall be entitled to terminate the relationship between them without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination of this relationship shall continue to subsist and vest in/be binding on the respective parties or his/its respective heirs, executors, administrators, legal representatives or successors, as the case may be.
29. In the event of demise/insolvency of the sub-broker or the cancellation of his/its registration with the Board or/withdrawal of recognition of the sub-broker by the stock exchange and/or termination of the agreement with the sub broker by the stock broker, for any reason whatsoever, the client shall be informed of such termination and the client shall be deemed to be the direct client of the stock broker and all clauses in the 'Rights and Obligations' document(s) governing the stock broker, sub-broker and client shall continue to be in force as it is, unless the client intimates to the stock broker his/its intention to terminate their relationship by giving a notice in writing of not less than one month.

#### **ADDITIONAL RIGHTS AND OBLIGATIONS**

30. The stock broker shall ensure due protection to the client regarding client's rights to dividends, rights or bonus shares, etc. in respect of transactions routed through it and it shall not do anything which is likely to harm the interest of the client with whom and for whom they may have had transactions in securities.
31. The stock broker and client shall reconcile and settle their accounts from time to time as per the Rules, Regulations, Bye Laws, Circulars, Notices and Guidelines issued by SEBI and the relevant Exchanges where the trade is executed.
32. The stock broker shall issue a contract note to his constituents for trades executed in such format as may be prescribed by the Exchange from time to time containing records of all transactions including details of order number, trade number, trade time, trade price, trade quantity, details of the derivatives contract, client code, brokerage, all charges levied etc. and with all other relevant details as required therein to be filled in and issued in such manner and within such time as prescribed by the Exchange. The stock broker shall send contract notes to the investors within one working day of the execution of the trades in hard copy and/or in electronic form using digital signature.
33. The stock broker shall make pay out of funds or delivery of securities, as the case may be, to the Client within one working day of receipt of the payout from the relevant Exchange where the trade is executed unless otherwise specified by the client and subject to such terms and conditions as may be prescribed by the relevant Exchange from time to time where the trade is executed.
34. The stock broker shall send a complete 'Statement of Accounts' for both funds and securities in respect of each of its clients in such periodicity and format within such time, as may be prescribed by the relevant Exchange, from time to time, where the trade is executed. The Statement shall also state that the client shall report errors, if any, in the Statement within such time as may be prescribed by the relevant Exchange from time to time where the trade was executed, from the receipt thereof to the Stock broker.
35. The stock broker shall send daily margin statements to the clients. Daily Margin statement should include, inter-alia, details of collateral deposited, collateral utilized and collateral status (available balance/due from client) with break up in terms of cash, Fixed Deposit Receipts (FDRs), Bank Guarantee and securities.
36. The Client shall ensure that it has the required legal capacity to, and is authorized to, enter into the relationship with stock broker and is capable of performing his obligations and undertakings hereunder. All actions required to be taken to ensure compliance of all the transactions, which the Client may enter into shall be completed by the Client prior to such transaction being entered into.

### **ELECTRONIC CONTRACT NOTES (ECN)**

37. In case, client opts to receive the contract note in electronic form, he shall provide an appropriate e-mail id to the stock broker. The client shall communicate to the stock broker any change in the email-id through a physical letter. If the client has opted for internet trading, the request for change of email id may be made through the secured access by way of client specific user id and password.
38. The stock broker shall ensure that all ECNs sent through the e-mail shall be digitally signed, encrypted, non-tamper able and in compliance with the provisions of the IT Act, 2000. In case, ECN is sent through e-mail as an attachment, the attached file shall also be secured with the digital signature, encrypted and non-tamperable.
39. The client shall note that non-receipt of bounced mail notification by the stock broker shall amount to delivery of the contract note at the e-mail ID of the client.
40. The stock broker shall retain ECN and acknowledgement of the e-mail in a soft and non-tamperable form in the manner prescribed by the exchange in compliance with the provisions of the IT Act, 2000 and as per the extant rules/regulations/circulars/guidelines issued by SEBI/Stock Exchanges from time to time. The proof of delivery i.e., log report generated by the system at the time of sending the contract notes shall be maintained by the stock broker for the specified period under the extant regulations of SEBI/stock exchanges. The log report shall provide the details of the contract notes that are not delivered to the client/ e-mails rejected or bounced back. The stock broker shall take all possible steps to ensure receipt of notification of bounced mails by him at all times within the stipulated time period under the extant regulations of SEBI/ stock exchanges.
41. The stock broker shall continue to send contract notes in the physical mode to such clients who do not opt to receive the contract notes in the electronic form. Wherever the ECNs have not been delivered to the client or has been rejected (bouncing of mails) by the e-mail ID of the client, the stock broker shall send a physical contract note to the client within the stipulated time under the extant regulations of SEBI/ stock exchanges and maintain the proof of delivery of such physical contract notes.
42. In addition to the e-mail communication of the ECNs to the client, the stock broker shall simultaneously publish the ECN on his designated web-site, if any, in a secured way and enable relevant access to the clients and for this purpose, shall allot a unique user name and password to the client, with an option to the client to save the contract note electronically and/or take a print out of the same.

### **LAW AND JURISDICTION**

43. In addition to the specific rights set out in this document, the stock broker, sub-broker and the client shall be entitled to exercise any other rights which the stock broker or the client may have under the Rules, Bye-laws and Regulations of the Exchanges in which the client chooses to trade and circulars/notices issued thereunder or Rules and Regulations of SEBI.
44. The provisions of this document shall always be subject to Government notifications, any rules, regulations, guidelines and circulars/notices issued by SEBI and Rules, Regulations and Bye laws of the relevant stock exchanges, where the trade is executed, that may be in force from time to time.
45. The stock broker and the client shall abide by any award passed by the Arbitrator(s) under the Arbitration and Conciliation Act, 1996. However, there is also a provision of appeal within the stock exchanges, if either party is not satisfied with the arbitration award.
46. Words and expressions which are used in this document but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges/SEBI.
47. All additional voluntary clauses/document added by the stock broker should not be in contravention with rules/regulations/notices/circulars of Exchanges/SEBI. Any changes in such voluntary clauses/document(s) need to be preceded by a notice of 15 days. Any changes in the rights and obligations which are specified by Exchanges/SEBI shall also be brought to the notice of the clients.
48. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant stock Exchanges where the trade is executed, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

Signature of Client: \_\_\_\_\_



**INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY PROVIDED BY STOCK BROKERS TO CLIENT  
(All the clauses mentioned in the 'Rights and Obligations' document(s) shall be applicable. Additionally, the clauses mentioned herein shall also be applicable.)**

1. Stock broker is eligible for providing Internet based trading (IBT) and securities trading through the use of wireless technology that shall include the use of devices such as mobile phone, laptop with data card, etc. which use Internet Protocol (IP). The stock broker shall comply with all requirements applicable to internet based trading/securities trading using wireless technology as may be specified by SEBI & the Exchanges from time to time.
2. The client is desirous of investing/trading in securities and for this purpose, the client is desirous of using either the internet based trading facility or the facility for securities trading through use of wireless technology. The Stock broker shall provide the Stock broker's IBT Service to the Client, and the Client shall avail of the Stock broker's IBT Service, on and subject to SEBI/Exchanges Provisions and the terms and conditions specified on the Stock broker's IBT Web Site provided that they are in line with the norms prescribed by Exchanges/SEBI.
3. The stock broker shall bring to the notice of client the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/internet/smart order routing or any other technology should be brought to the notice of the client by the stock broker.
4. The stock broker shall make the client aware that the Stock Broker's IBT system itself generates the initial password and its password policy as stipulated in line with norms prescribed by Exchanges/SEBI.
5. The Client shall be responsible for keeping the Username and Password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person whatsoever through the Stock broker's IBT System using the Client's Username and/or Password whether or not such person was authorized to do so. Also the client is aware that authentication technologies and strict security measures are required for the internet trading/securities trading through wireless technology through order routed system and undertakes to ensure that the password of the client and/or his authorized representative are not revealed to any third party including employees and dealers of the stock broker
6. The Client shall immediately notify the Stock broker in writing if he forgets his password, discovers security flaw in Stock Broker's IBT System, discovers/suspects discrepancies/unauthorized access through his username/password/account with full details of such unauthorized use, the date, the manner and the transactions effected pursuant to such unauthorized use, etc.
7. The Client is fully aware of and understands the risks associated with availing of a service for routing orders over the internet/securities trading through wireless technology and Client shall be fully liable and responsible for any and all acts done in the Client's Username/password in any manner whatsoever.
8. The stock broker shall send the order/trade confirmation through email to the client at his request. The client is aware that the order/ trade confirmation is also provided on the web portal. In case client is trading using wireless technology, the stock broker shall send the order/trade confirmation on the device of the client.
9. The client is aware that trading over the internet involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. are susceptible to interruptions and dislocations. The Stock broker and the Exchange do not make any representation or warranty that the Stock broker's IBT Service will be available to the Client at all times without any interruption.
10. The Client shall not have any claim against the Exchange or the Stock broker on account of any suspension, interruption, non-availability or malfunctioning of the Stock broker's IBT System or Service or the Exchange's service or systems or non-execution of his orders due to any link/system failure at the Client/Stock brokers/Exchange end for any reason beyond the control of the stock broker/Exchanges.

Signature of Client : \_\_\_\_\_

Place : \_\_\_\_\_

Date : \_\_\_\_\_

**RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET AND DERIVATIVES SEGMENTS**

This document contains important information on trading in Equities/Derivatives Segments of the stock exchanges. All prospective constituents should read this document before trading in Equities/Derivatives Segments of the Exchanges.

Stock exchanges/SEBI does neither singly or jointly and expressly nor impliedly guarantee nor make any representation concerning the completeness, the adequacy or accuracy of this disclosure document nor have Stock exchanges /SEBI endorsed or passed any merits of participating in the trading segments. This brief statement does not disclose all the risks and other significant aspects of trading.

In the light of the risks involved, you should undertake transactions only if you understand the nature of the relationship into which you are entering and the extent of your exposure to risk.

You must know and appreciate that trading in Equity shares, derivatives contracts or other instruments traded on the Stock Exchange, which have varying element of risk, is generally not an appropriate avenue for someone of limited resources/limited investment and/or trading experience and low risk tolerance. You should therefore carefully consider whether such trading is suitable for you in the light of your financial condition. In case you trade on Stock exchanges and suffer adverse consequences or loss, you shall be solely responsible for the same and Stock exchanges/its Clearing Corporation and/or SEBI shall not be responsible, in any manner whatsoever, for the same and it will not be open for you to take a plea that no adequate disclosure regarding the risks involved was made or that you were not explained the full risk involved by the concerned stock broker. The constituent shall be solely responsible for the consequences and no contract can be rescinded on that account. You must acknowledge and accept that there can be no guarantee of profits or no exception from losses while executing orders for purchase and/or sale of a derivative contract being traded on Stock exchanges.

It must be clearly understood by you that your dealings on Stock exchanges through a stock broker shall be subject to your fulfilling certain formalities set out by the stock broker, which may inter alia include your filling the know your client form, reading the rights and obligations, do's and don'ts, etc., and are subject to the Rules, Byelaws and Regulations of relevant Stock exchanges, its Clearing Corporation, guidelines prescribed by SEBI and in force from time to time and Circulars as may be issued by Stock exchanges or its Clearing Corporation and in force from time to time.

Stock exchanges does not provide or purport to provide any advice and shall not be liable to any person who enters into any business relationship with any stock broker of Stock exchanges and/or any third party based on any information contained in this document. Any information contained in this document must not be construed as business advice. No consideration to trade should be made without thoroughly understanding and reviewing the risks involved in such trading. If you are unsure, you must seek professional advice on the same.

In considering whether to trade or authorize someone to trade for you, you should be aware of or must get acquainted with the following:-

**1. BASIC RISKS:****1.1 Risk of Higher Volatility:**

Volatility refers to the dynamic changes in price that a security/derivatives contract undergoes when trading activity continues on the Stock Exchanges. Generally, higher the volatility of a security/derivatives contract, greater is its price swings. There may be normally greater volatility in thinly traded securities / derivatives contracts than in active securities /derivatives contracts. As a result of volatility, your order may only be partially executed or not executed at all, or the price at which your order got executed may be substantially different from the last traded price or change substantially thereafter, resulting in notional or real losses.

**1.2 Risk of Lower Liquidity:**

Liquidity refers to the ability of market participants to buy and/or sell securities / derivatives contracts expeditiously at a competitive price and with minimal price difference. Generally, it is assumed that more the numbers of orders available in a market, greater is the liquidity. Liquidity is important because with greater liquidity, it is easier for investors to buy and/or sell securities / derivatives contracts swiftly and with minimal price difference, and as a result, investors are more likely to pay or receive a competitive price for securities / derivatives contracts purchased or sold. There may be a risk of lower liquidity in some

securities / derivatives contracts as compared to active securities / derivatives contracts. As a result, your order may only be partially executed, or may be executed with relatively greater price difference or may not be executed at all.

**1.2.1** Buying or selling securities / derivatives contracts as part of a day trading strategy may also result into losses, because in such a situation, securities / derivatives contracts may have to be sold / purchased at low / high prices, compared to the expected price levels, so as not to have any open position or obligation to deliver or receive a security / derivatives contract.

**1.3 Risk of Wider Spreads:**

Spread refers to the difference in best buy price and best sell price. It represents the differential between the price of buying a security / derivatives contract and immediately selling it or vice versa. Lower liquidity and higher volatility may result in wider than normal spreads for less liquid or illiquid securities / derivatives contracts. This in turn will hamper better price formation.

**1.4 Risk-reducing orders:**

The placing of orders (e.g., "stop loss" orders, or "limit" orders) which are intended to limit losses to certain amounts may not be effective many a time because rapid movement in market conditions may make it impossible to execute such orders.

**1.4.1** A "market" order will be executed promptly, subject to availability of orders on opposite side, without regard to price and that, while the customer may receive a prompt execution of a "market" order, the execution may be at available prices of outstanding orders, which satisfy the order quantity, on price time priority. It may be understood that these prices may be significantly different from the last traded price or the best price in that security / derivatives contract.

**1.4.2** A "limit" order will be executed only at the "limit" price specified for the order or a better price. However, while the customer receives price protection, there is a possibility that the order may not be executed at all.

**1.4.3** A stop loss order is generally placed "away" from the current price of a stock / derivatives contract, and such order gets activated if and when the security / derivatives contract reaches, or trades through, the stop price. Sell stop orders are entered ordinarily below the current price, and buy stop orders are entered ordinarily above the current price. When the security / derivatives contract reaches the pre-determined price, or trades through such price, the stop loss order converts to a market/limit order and is executed at the limit or better. There is no assurance therefore that the limit order will be executable since a security / derivatives contract might penetrate the pre-determined price, in which case, the risk of such order not getting executed arises, just as with a regular limit order.

**1.5 Risk of News Announcements:**

News announcements that may impact the price of stock / derivatives contract may occur during trading, and when combined with lower liquidity and higher volatility, may suddenly cause an unexpected positive or negative movement in the price of the security / contract.

**1.6 Risk of Rumors:**

Rumors about companies / currencies at times float in the market through word of mouth, newspapers, websites or news agencies, etc. The investors should be wary of and should desist from acting on rumors.

**1.7 System Risk:**

High volume trading will frequently occur at the market opening and before market close. Such high volumes may also occur at any point in the day. These may cause delays in order execution or confirmation.

**1.7.1** During periods of volatility, on account of market participants continuously modifying their order quantity or prices or placing fresh orders, there may be delays in order execution and its confirmations.

**1.7.2** Under certain market conditions, it may be difficult or impossible to liquidate a position in the market at a reasonable price or at all, when there are no outstanding orders either on the buy side or the sell side, or if trading is halted in a security / derivatives contract due to any action on account of unusual trading activity or security / derivatives contract hitting circuit filters or for any other reason.

**1.8 System/Network Congestion:**

Trading on exchanges is in electronic mode, based on satellite/leased line based communications, combination

of technologies and computer systems to place and route orders. Thus, there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, or any such other problem/glitch whereby not being able to establish access to the trading system/network, which may be beyond control and may result in delay in processing or not processing buy or sell orders either in part or in full. You are cautioned to note that although these problems may be temporary in nature, but when you have outstanding open positions or unexecuted orders, these represent a risk because of your obligations to settle all executed transactions.

**2. As far as Derivatives segments are concerned, please note and get yourself acquainted with the following additional features:-**

**2.1 Effect of "Leverage" or "Gearing":**

In the derivatives market, the amount of margin is small relative to the value of the derivatives contract so the transactions are 'leveraged' or 'geared'. Derivatives trading, which is conducted with a relatively small amount of margin, provides the possibility of great profit or loss in comparison with the margin amount. But transactions in derivatives carry a high degree of risk.

You should therefore completely understand the following statements before actually trading in derivatives and also trade with caution while taking into account one's circumstances, financial resources, etc. If the prices move against you, you may lose a part of or whole margin amount in a relatively short period of time. Moreover, the loss may exceed the original margin amount.

- A. Futures trading involve daily settlement of all positions. Every day the open positions are marked to market based on the closing level of the index / derivatives contract. If the contract has moved against you, you will be required to deposit the amount of loss (notional) resulting from such movement. This amount will have to be paid within a stipulated time frame, generally before commencement of trading on next day.
- B. If you fail to deposit the additional amount by the deadline or if an outstanding debt occurs in your account, the stock broker may liquidate a part of or the whole position or substitute securities. In this case, you will be liable for any losses incurred due to such close-outs.
- C. Under certain market conditions, an investor may find it difficult or impossible to execute transactions. For example, this situation can occur due to factors such as illiquidity i.e. when there are insufficient bids or offers or suspension of trading due to price limit or circuit breakers etc.
- D. In order to maintain market stability, the following steps may be adopted: changes in the margin rate, increases in the cash margin rate or others. These new measures may also be applied to the existing open interests. In such conditions, you will be required to put up additional margins or reduce your positions.
- E. You must ask your broker to provide the full details of derivatives contracts you plan to trade i.e. the contract specifications and the associated obligations.

**2.2 Currency specific risks:**

1. The profit or loss in transactions in foreign currency-denominated contracts, whether they are traded in your own or another jurisdiction, will be affected by fluctuations in currency rates where there is a need to convert from the currency denomination of the contract to another currency.
2. Under certain market conditions, you may find it difficult or impossible to liquidate a position. This can occur, for example when a currency is deregulated or fixed trading bands are widened.
3. Currency prices are highly volatile. Price movements for currencies are influenced by, among other things: changing supply-demand relationships; trade, fiscal, monetary, exchange control programs and policies of governments; foreign political and economic events and policies; changes in national and international interest rates and inflation; currency devaluation; and sentiment of the market place. None of these factors can be controlled by any individual advisor and no assurance can be given that an advisor's advice will result in profitable trades for a participating customer or that a customer will not incur losses from such events.

**2.3 Risk of Option holders:**

1. An option holder runs the risk of losing the entire amount paid for the option in a relatively short

period of time. This risk reflects the nature of an option as a wasting asset which becomes worthless when it expires. An option holder who neither sells his option in the secondary market nor exercises it prior to its expiration will necessarily lose his entire investment in the option. If the price of the underlying does not change in the anticipated direction before the option expires, to an extent sufficient to cover the cost of the option, the investor may lose all or a significant part of his investment in the option.

2. The Exchanges may impose exercise restrictions and have absolute authority to restrict the exercise of options at certain times in specified circumstances.

#### **2.4 Risks of Option Writers:**

1. If the price movement of the underlying is not in the anticipated direction, the option writer runs the risks of losing substantial amount.
2. The risk of being an option writer may be reduced by the purchase of other options on the same underlying interest and thereby assuming a spread position or by acquiring other types of hedging positions in the options markets or other markets. However, even where the writer has assumed a spread or other hedging position, the risks may still be significant. A spread position is not necessarily less risky than a simple 'long' or 'short' position.
3. Transactions that involve buying and writing multiple options in combination, or buying or writing options in combination with buying or selling short the underlying interests, present additional risks to investors. Combination transactions, such as option spreads, are more complex than buying or writing a single option. And it should be further noted that, as in any area of investing, a complexity not well understood is, in itself, a risk factor. While this is not to suggest that combination strategies should not be considered, it is advisable, as is the case with all investments in options, to consult with someone who is experienced and knowledgeable with respect to the risks and potential rewards of combination transactions under various market circumstances.

3. **TRADING THROUGH WIRELESS TECHNOLOGY/ SMART ORDER ROUTING OR ANY OTHER TECHNOLOGY:** Any additional provisions defining the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/ smart order routing or any other technology should be brought to the notice of the client by the stock broker.

#### **4. GENERAL**

- 4.1 The term 'constituent' shall mean and include a client, a customer or an investor, who deals with a stock broker for the purpose of acquiring and/or selling of securities / derivatives contracts through the mechanism provided by the Exchanges.
- 4.2 The term 'stock broker' shall mean and include a stock broker, a broker or a stock broker, who has been admitted as such by the Exchanges and who holds a registration certificate from SEBI.

Signature of Client :  \_\_\_\_\_

Place : \_\_\_\_\_

Date : \_\_\_\_\_

**GUIDANCE NOTE - DO'S AND DON'TS FOR TRADING ON THE EXCHANGE(S) FOR INVESTORS****BEFORE YOU BEGIN TO TRADE**

1. Ensure that you deal with and through only SEBI registered intermediaries. You may check their SEBI registration certificate number from the list available on NSE ([www.nseindia.com](http://www.nseindia.com)), BSE ([www.bseindia.com](http://www.bseindia.com)), MSEIL ([www.msei.in](http://www.msei.in)) and SEBI website [www.sebi.gov.in](http://www.sebi.gov.in).
2. Ensure that you fill the KYC form completely and strike off the blank fields in the KYC form.
3. Ensure that you have read all the mandatory documents viz. Rights and Obligations, Risk Disclosure Document, Policy and Procedure document of the stock broker.
4. Ensure to read, understand and then sign the voluntary clauses, if any, agreed between you and the stock broker. Note that the clauses as agreed between you and the stock broker cannot be changed without your consent.
5. Get a clear idea about all brokerage, commissions, fees and other charges levied by the broker on you for trading and the relevant provisions/ guidelines specified by SEBI/Stock exchanges.
6. Obtain a copy of all the documents executed by you from the stock broker free of charge.
7. In case you wish to execute Power of Attorney (POA) in favour of the Stock broker, authorizing it to operate your bank and demat account, please refer to the guidelines issued by SEBI/Exchanges in this regard.

**TRANSACTIONS AND SETTLEMENTS**

8. The stock broker may issue electronic contract notes (ECN) if specifically authorized by you in writing. You should provide your email id to the stock broker for the same. Don't opt for ECN if you are not familiar with computers.
9. Don't share your internet trading account's password with anyone.
10. Don't make any payment in cash to the stock broker.
11. Make the payments by account payee cheque in favour of the stock broker. Don't issue cheques in the name of sub-broker. Ensure that you have a documentary proof of your payment/deposit of securities with the stock broker, stating date, scrip, quantity, towards which bank/ demat account such money or securities deposited and from which bank/ demat account.
12. Note that facility of Trade Verification is available on stock exchanges' websites, where details of trade as mentioned in the contract note may be verified. Where trade details on the website do not tally with the details mentioned in the contract note, immediately get in touch with the Investors Grievance Cell of the relevant Stock exchange.
13. In case you have given specific authorization for maintaining running account, payout of funds or delivery of securities (as the case may be), may not be made to you within one working day from the receipt of payout from the Exchange. Thus, the stock broker shall maintain running account for you subject to the following conditions:
  - a) Such authorization from you shall be dated, signed by you only and contains the clause that you may revoke the same at any time.
  - b) The actual settlement of funds and securities shall be done by the stock broker, at least once in a calendar quarter or month, depending on your preference. While settling the account, the stock broker shall send to you a 'statement of accounts' containing an extract from the client ledger for funds and an extract from the register of securities displaying all the receipts/deliveries of funds and securities. The statement shall also explain the retention of funds and securities and the details of the pledged shares, if any.
  - c) On the date of settlement, the stock broker may retain the requisite securities/funds towards outstanding obligations and may also retain the funds expected to be required to meet derivatives margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. In respect of cash market

transactions, the stock broker may retain entire pay-in obligation of funds and securities due from clients as on date of settlement and for next day's business, he may retain funds/securities/margin to the extent of value of transactions executed on the day of such settlement in the cash market.

d) You need to bring any dispute arising from the statement of account or settlement so made to the notice of the stock broker in writing preferably within 7 (seven) working days from the date of receipt of funds/securities or statement, as the case may be. In case of dispute, refer the matter in writing to the Investors Grievance Cell of the relevant Stock exchanges without delay.

14. In case you have not opted for maintaining running account and pay-out of funds/securities is not received on the next working day of the receipt of payout from the exchanges, please refer the matter to the stock broker. In case there is dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the relevant Stock exchange.

15. Please register your mobile number and email id with the stock broker, to receive trade confirmation alerts/details of the transactions through SMS or email, by the end of the trading day, from the stock exchanges.

#### **IN CASE OF TERMINATION OF TRADING MEMBERSHIP**

16. In case, a stock broker surrenders his membership, is expelled from membership or declared a defaulter; Stock exchanges gives a public notice inviting claims relating to only the "transactions executed on the trading system" of Stock exchange, from the investors. Ensure that you lodge a claim with the relevant Stock exchanges within the stipulated period and with the supporting documents.

17. Familiarize yourself with the protection accorded to the money and/or securities you may deposit with your stock broker, particularly in the event of a default or the stock broker's insolvency or bankruptcy and the extent to which you may recover such money and/or securities may be governed by the Bye-laws and Regulations of the relevant Stock exchange where the trade was executed and the scheme of the Investors' Protection Fund in force from time to time.

#### **DISPUTES/ COMPLAINTS**

18. Please note that the details of the arbitration proceedings, penal action against the brokers and investor complaints against the stock brokers are displayed on the website of the relevant Stock exchange.

19. In case your issue/problem/grievance is not being sorted out by concerned stock broker/sub-broker then you may take up the matter with the concerned Stock exchange. If you are not satisfied with the resolution of your complaint then you can escalate the matter to SEBI.

20. Note that all the stock broker/sub-brokers have been mandated by SEBI to designate an e-mail ID of the grievance redressal division/compliance officer exclusively for the purpose of registering complaints.

Signature of Client :  \_\_\_\_\_

Place : \_\_\_\_\_

Date : \_\_\_\_\_

**MANDATORY**

**MANDATORY DOCUMENT DEALING WITH POLICIES AND PROCEDURES FOR INVESTING, TRADING AND DEALING IN DIFFERENT SEGMENTS OF DIFFERENT EXCHANGES BETWEEN THE BROKER (SW CAPITAL PVT. LTD.) AND THE CLIENT.**

**A. REFUSAL OF ORDERS FOR PENNY /ILLIQUID STOCKS AND AT UNREALISTIC PRICES.**

The client is expected not to place with the Stockbroker any order in scrips which are illiquid or in penny stocks at prices which are substantially different from the prevailing market prices at the time of placement of order. Any such order placed by the client is liable to be rejected at the sole discretion of the Broker. The Broker can restrict trading in certain stocks as per the guidelines of the Exchanges from time to time.

**B. SETTING UP OF CLIENT'S EXPOSURE LIMITS.**

Exposure limits for the clients would comply with the Rules and Regulations of the Exchanges and exposure will be given as per the margins deposited with the Broker in the Cash/Derivatives/Currency Segments. Past trading and payments history would be taken into considerations to set future exposure limits for the client.

**C. APPLICABLE BROKERAGE RATE.**

Brokerage rate will be applicable as per mutually decided between the Broker and Client within the Rules & Regulations of the Exchanges. The said Rate should be mentioned in the KYC and future changes will be communicated and authorized by the client. All other charges and levies, as per applicable laws, rules and regulations, will be separately mentioned in the Contract.

**D. IMPOSITION OF PENALTY/OTHER CHARGES.**

Penalty and other charges levied by the Exchanges pertaining to the trading of the client would be charged to the client's ledger. Any amounts overdue from the client towards trading and investment in any segments of any Exchanges, may be charged delayed payment charges at a rate not more than 2.00% per month or part thereof or at such rates as mutually decided between the Broker and the Client. The broker will directly debit the same to the account of the Client at the end of each month or at the end of any period decided by the Broker. Also any amount due from the Client (including the other charges, as per applicable laws, rules and regulations) shall be offset against the dues owed by the Stock Broker to the Client. No interest or charges will be paid by the Stock Broker to the Client in respect of retention of funds and securities to meet future settlement obligations and running account authorizations.

**E. RIGHT TO SELL CLIENTS SHARES/CLOSE CLIENT'S POSITIONS WITHOUT GIVING NOTICE TO THE CLIENT ON ACCOUNT OF NON-PAYMENTS OF CLIENT'S DUES.**

The Broker has the right to liquidate/close out all or any of the client's positions as well as securities placed as Margins for non-payment of margins or other lawful due from the client in respect of settlements. The proceeds of the same shall be adjusted against the client's lawful liabilities/obligations. Any and all losses and financial charges on account of such liquidation/closeout shall be charged to and borne by the client. Such liquidation/closeout maybe without any notice or prior reference to the client.

**F. SHORTAGES IN OBLIGATIONS ARISING OUT OF INTERNAL NETTING OF TRADES.**

In case of shortages arising out of internal netting of trades, the securities will be delivered to the purchaser client of the securities either by collecting the securities from the seller client within 48 hours of the settlement date or amount will be credited to the buyer by debiting the amount to the short seller as per the Auction Rates pertaining to the particular scrip prescribed by the Exchanges from time to time.

**G. CONDITIONS UNDER WHICH A CLIENT MAY NOT BE ALLOWED TO TAKE FURTHER POSITIONS OR THE BROKER MAY CLOSE EXISTING POSITIONS.**

The Stock Broker shall have the absolute discretion and authority to reduce the volume of business of the Client or to close existing positions of the client without any prior notice to the client in such conditions as

1. The volatility in the market or particular scrip or F&O.
2. In view of impending price sensitive announcements or insider trading restrictions on the Client.
3. Any restrictions in relation to volume of trading/outstanding positions of contracts or Margins or Penalties or Orders as imposed by the Exchanges or Regulators.



4. Political instability in the Country.
5. Failure by the Client to maintain the applicable collateral/margin and/or delay by the client in meeting his/her obligations/dues relating to the business/dealings done under mandatory and non-mandatory constituent registration document or pursuant to other agreed terms and authorizations between the client and broker.
6. Unforeseen adverse market conditions and natural calamities affecting the working of the markets.
7. Illegal trade practices undertaken by the client or money laundering activities seen in client's dealings.

**H. TEMPORARY SUSPENDING OR CLOSING A CLIENT'S ACCOUNT AT CLIENT'S REQUEST.**

The client needs to furnish a written communication to the Broker to temporarily suspend or terminate his agreement and account with the broker. In respect of temporary suspension, the client needs to provide the broker with required documents with a written letter to activate his account again in the future. In respect of closure, fresh agreement and registration should be done to start the account in the future. The Broker will assure that no trades will be done when an account is suspended or terminated by the client and will be solely responsible for any such trade.

**I. DEREGISTERING A CLIENT.**


The Broker at his sole discretion may deregister any client in view of conditions noted in Point G above without any prior notice to the client. Any outstanding dues in the client's account will be communicated and collected from the client and the client is liable to pay such dues immediately on receiving such communication.

**J. PROPRIETARY TRADING**

The stock Broker discloses herewith that it undertakes proprietary trading in addition to client business.

**K. INACTIVE CLIENT ACCOUNT**

Client account will be considered as inactive if the client does not execute a single trade during the period of 12 months from the last trade. In such cases, the client has to make a written request for reactivation of his trading account, with recent proofs and any upgradation in the KYC form. If the client does not want to continue business with the trading member, he may request with member in writing to release his funds/securities, if any, in his Bank/DP Account. The member shall indentify the Client and release the client funds/securities in his registered bank/DP accounts. The client shall also submit the account closure form duly filled and signed to close his Trading/DP account.

Name of Client : \_\_\_\_\_  
 Signature of Client :  \_\_\_\_\_  
 Date : \_\_\_\_\_

**BROKERAGE AND STATUTORY CHARGES**

**MANDATORY**

Further, I agree to the following terms of doing business

| Segment          | Sq. off % |      | Sq. off Min (ps) |      | Delivery % | Delivery Min (ps) |
|------------------|-----------|------|------------------|------|------------|-------------------|
|                  | Buy       | Sell | Buy              | Sell |            |                   |
| BSE Cash         |           |      |                  |      |            |                   |
| BSE Futures      |           |      |                  |      |            |                   |
| BSE Options      |           |      |                  |      |            |                   |
| BSE Currency     |           |      |                  |      |            |                   |
| BSE Curr. Opt.   |           |      |                  |      |            |                   |
| NSE Cash         |           |      |                  |      |            |                   |
| NSE Futures      |           |      |                  |      |            |                   |
| NSE Options      |           |      |                  |      |            |                   |
| NSE Currency     |           |      |                  |      |            |                   |
| NSE Curr. Opt.   |           |      |                  |      |            |                   |
| MSEIL Cash       |           |      |                  |      |            |                   |
| MSEIL Fut.       |           |      |                  |      |            |                   |
| MSEIL Opt.       |           |      |                  |      |            |                   |
| MSEIL Curr.      |           |      |                  |      |            |                   |
| MSEIL Curr. Opt. |           |      |                  |      |            |                   |

The above given brokerage will be exclusive of the following charges.

- Note:**
1. Inter settlement / DP transaction charges arising out of purchase / sell transactions effected by constituents will be debited to Constitute Account.
  2. The above charges are subject to change by the regulatory authorities or Government agencies.
  3. Brokerage will not exceed the limits prescribed by Exchange/SEBI.
  4. Other levies, viz. GST, Transaction Charges, STT, Stamp Duty, SEBI Turn over charges etc. will be levied in addition to the brokerage as stated above, or such other rates of brokerage as intimated to the client from time to time.
  5. The member is a trading member in NSE/BSE/MSEI in Equity Derivative Segment/Currency Derivative Segment, therefore, the member may collect clearing member charges, to clear trade in above said segments, to reimburse the same to the clearing member.

Signature of the Client \_\_\_\_\_

|  |             |  |  |                           |  |
|--|-------------|--|--|---------------------------|--|
| <b>FOR OFFICE USE ONLY</b>   |             |  |  |                           |  |
| <b>UNIQUE CONSTITUENT CODE:</b> (To be inserted by the Brokerage Firm) |             |  |  |                           |  |
|  | <b>NAME</b> |  |  | <b>SIGNATURE AND DATE</b> |  |
| AUTHORISED BY  |             |  |  |                           |  |
| ENTERED BY   |             |  |  |                           |  |

**FATCA/CRS DETAILS**

|             |  |             |
|-------------|--|-------------|
| Client Code |  | Date: _____ |
|-------------|--|-------------|

The below information is required for all applicant(s) / guardian / PoA holder.

| Sr. No. | Details   | 1st Holder   | 2nd Holder   | 3rd Holder   |
|---------|---|--|--|--|
| 1       | Are You a Tax Resident of Country other than India?   | <input type="checkbox"/> Yes <input type="checkbox"/> No | <input type="checkbox"/> Yes <input type="checkbox"/> No | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 2       | Is your Country of Birth/Citizenship other than India?  | <input type="checkbox"/> Yes <input type="checkbox"/> No | <input type="checkbox"/> Yes <input type="checkbox"/> No | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 3       | If your Residence address/Mailing address/Telephone No. other than in India?  | <input type="checkbox"/> Yes <input type="checkbox"/> No | <input type="checkbox"/> Yes <input type="checkbox"/> No | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 4       | Is the POA holder/person to whom signatory authority is given, covered under any of the categories 1, 2 or 3 above? | <input type="checkbox"/> Yes <input type="checkbox"/> No | <input type="checkbox"/> Yes <input type="checkbox"/> No | <input type="checkbox"/> Yes <input type="checkbox"/> No |

If you have answered YES to any of above, please provide the below details

| Sr. No. | Details  | 1st Holder   | 2nd Holder   | 3rd Holder   |
|---------|--|--|--|--|
| 1       | Country of Residence   |  |  |  |
| 2       | Nationality  |  |  |  |
| 3       | Tax Identification No. or Reason for not providing TIN                       |  |  |  |
| 4       | Identification Type (TIN or Other, please specify)                           |  |  |  |
| 5       | Residence address for tax purposes (include City, State, Country & Pin code) |  |  |  |
| 6       | Address Type   | <input type="checkbox"/> Residential<br><input type="checkbox"/> Business<br><input type="checkbox"/> Regd. Office | <input type="checkbox"/> Residential<br><input type="checkbox"/> Business<br><input type="checkbox"/> Regd. Office | <input type="checkbox"/> Residential<br><input type="checkbox"/> Business<br><input type="checkbox"/> Regd. Office |
| 7       | City of birth  |  |  |  |
| 8       | Country of birth   |  |  |  |

**Certification:** I/We have understood the information requirements of this Form (read along with the FATCA/CRS Instructions), and hereby certify that the information provided by me/us on this Form is true, correct, and complete. I/We also confirm that I/We have read and understood the FATCA/CRS Terms and Conditions and hereby accept the same.

I/We agree to indemnify SW Capital Pvt. Ltd. in respect of any false, misleading, inaccurate and incomplete information regarding my/our "U.S. person" status for U.S. federal income tax purposes. or in respect of any other information as may be required under applicable tax laws.

|           | First / Guardian Applicant | Second Holder | Third Holder |
|-----------|----------------------------|---------------|--------------|
| Name      |                            |               |              |
| Signature |                            |               |              |
| PAN       |                            |               |              |

**FATCA-CRS Instruction**

**Details under FATCA/CRS/Foreign Tax Laws:** The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income Tax Rules 1962, which Rules require Indian financial institutions to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In certain circumstances (including if we do not receive a valid self -certification from you) we may be obliged to share information on your account with relevant tax authorities/appointed agencies. If you have any questions about your tax residency, please contact your tax advisor. Should there be any **change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days.** Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto. As may be required by domestic or overseas regulators/ tax authorities, we may also be constrained to withhold and pay out any sums from your account or close or suspend your account(s).

THE CLIENTS ARE REQUIRED TO NOTE THAT THE BELOW MENTIONED CLAUSES ARE NOT MANDATORY AS PER THE EXCHANGE/SEBI REQUIREMENTS BUT ARE BINDING ON THE CLIENT IF THEY WANT TO AVAIL THE SERVICES OF SWCPL. THE CLIENTS MAY REVOKE ANY OR ALL THE CLAUSES OF THIS DOCUMENT BY COMMUNICATING IN WRITING AND IN SUCH AN EVENT THE BROKER RESERVES A RIGHT TO TERMINATE SOME OR ALL THE SERVICES PERMITTED TO THE CLIENTS.

**1. ORDER PLACEMENT INSTRUCTIONS**

I understand that you require written instructions from me for placing / modifying / cancelling orders. However, since it is not practical for me to give written instructions for placing/modifying/cancelling order. Even If I have facility to trade online through Internet and wireless technology, I may have to place orders by physically visiting / calling/ Emailing the Call centre / branch specified for the said purpose by SWCPL in case of breakdown of internet connectivity or other similar reasons. I hereby request you to kindly accept my verbal orders/instructions, in person or over phone and execute the same. I understand the risk associated with placement of verbal orders and accept the same. I shall not disown orders under the plea that the same were not placed by me provided I am sent ECN/ Physical contract notes or trade confirmations through SMS and other modes. I indemnify SWCPL and its employees against all trade related losses, damages, actions which you may suffer or face, as a consequence of adhering to and carrying out my instructions for orders placed verbally.

**2. NO MARKET MANIPULATION**

I undertake not to execute transactions, either singly or in concert with other clients, which may be viewed as manipulative trades viz. artificially raising, depressing or maintaining the price, creation of artificial volume, synchronized trades, cross trades, self trades, etc or which could be termed as manipulative or fraudulent trades by SEBI/Exchanges. In case I am found to be indulging in such activities, SWCPL has every right to inform the Exchange/ SEBI/other regulatory authority of the same and suspend/close my trading account.

**3. NOT DEBARRED BY ANY REGULATOR**

I confirm and declare that there is no bar on me imposed by any Exchange or any Regulatory and/or Statutory authority to deal in securities directly or indirectly. I agree to inform SWCPL, in writing, of any regulatory action taken by any Exchange or Regulatory/ Statutory authority on me in future. In case I fail to inform the same and SWCPL on its own comes to know of such action, SWCPL has the right to suspend/close my trading account and refuse to deal with me. Also, SWCPL can at its sole discretion, close all the open positions and liquidate collaterals to the extent of trade related debit balances, without any notice to me.

**4. PMLA DECLARATION**

I declare that I have read and understood the contents and the provisions of the PMLA Act, 2002, which were also explained to me by SWCPL officials. I further declare that I shall adhere to all the provisions of PMLA Act, 2002.

I further undertake and confirm that;

a. I do not have any links with any known criminal

b. I am a genuine person and not involved or indulge knowingly or assisted, directly or indirectly, in any process or activity connected with the proceeds of crime nor I am a party to it. The investment money is derived from proper means and does not involve any black or Hawala money in any manner.

**5. INDEMNIFICATION** I hereby indemnify and hold SWCPL, its Directors and employees harmless from and against all trade related claims, demands, actions, proceedings, losses, damages, liabilities, charges and/or expenses that are occasioned or may be occasioned to the SWCPL directly or indirectly, relating to bad delivery of shares/ securities and/ or third party delivery, whether authorized or unauthorized and fake/forged/stolen shares/ securities/transfer documents introduced or that may be introduced by or through me during the course of my dealings/ operations on the Exchange(s) and/ or proof of address, identity and other supporting/ documents provided by me at the time of registration and/ or subsequently.

**6. NO DEALINGS IN CASH**

SWCPL as a policy neither accepts any funds for pay-in/margin in cash nor makes any payment or allows withdrawal of funds in cash. No claim will be entertained where the client states to have made any cash payment or deposited cash with any Branch/Sub- Broker/Remisier/Employee/Authorised Person of SWCPL.

**7. The Shares shall be delivered by the Clearing House(s) to the Client's Demat account on payout date subject to clear account balance with the Stock Broker. Failure of which, the Stock Broker will be entitled to sell the shares and the loss if any shall be debited to the Client's account**

**8. In case of Sale transactions, the securities shall be delivered by the Client to the Stock Broker before the pay in for the sale takes place.**

9. In case of sale of securities, the Stock Broker shall make payment to the Client as per Stock Exchange(s) Rules and Bye-laws, on presentation of the contract/bill issued by the Stock Broker for the same.
10. All debits/charges incurred by the Stock Broker due to bad / short/delayed deliveries made by the Client shall be fully recovered by the Stock Broker from the Client.
11. The Stock Broker reserves the right to make such changes to this Registration Form as may be considered necessary from time to time. Changes by the Stock Exchanges/other Regulators shall be with immediate effect, other changes shall be effective to the client by serving a notice of 15 days thereof and authorised to that effect unless otherwise required by the Rules, Regulations & Bye –Laws of the Stock Exchange(s) or Rules & Regulations of SEBI.
12. The Stock Broker shall have the right to refuse to accept any buy or sell instruction from the Client without providing any reasons thereof provided that the Stock Broker shall inform the Client of any such decision in advance.

#### **OTHER OPERATIVE CLAUSES**

13. In this Registration Form, unless the context specifies otherwise, reference to the singular includes a reference to the plural and vice versa and reference to any gender includes reference to all other gender. Headings are given for convenience only.
14. The Client shall deposit with the Stock Broker monies, securities etc. and money in the running account of the Client with the Stock Broker may be treated as margin received by the Stock Broker from the Client. The Client authorizes the Stock Broker to take for or to pledge the securities with the Exchange/Clearing Corporation/Clearing Member to meet margin/capital adequacy requirement of the Stock Broker. The Client further authorizes the Stock Broker to sell these securities to recover any dues payable by the Client to the Stock Broker. The Client warrants that all or any securities deposited / transferred by him with the Stock Broker in respect or margin / deposit requirements or otherwise, are owned by him and that the title thereof is clear and free from all encumbrances.
15. The Client agrees that the Stock Broker shall not be liable or responsible for non execution of orders placed through trading terminals / website/internet or through any other mode due to the failure of any system or link or due to any other mode whatsoever. The Stock Broker also reserves the right of refusing to execute any particular transaction.
16. The Client authorizes the Stock Broker to retain order confirmation / modification / cancellation / trade confirmation slips and to send it to him only on specific request being made in this regard.
17. The Client agrees to abide by operational procedures laid down by the Stock Broker regarding dispatch of contract notes and mode of communication, banking transaction, billing etc. and any changes made in these procedures from time to time. The Stock Broker may send contract note, bill or any other information to the Client through post / courier or through electronic mode, as the case may be.
18. The Client agrees to be bound by the guidelines, including the rules pertaining to the adjustment of shortages in Client's position in securities transacted on behalf of the Client, by the Stock Broker, either through orders placed through the use of the e-broking services of the Stock Broker or otherwise as may be issued by the Stock Broker from time to time. In case of internal shortage of securities, any entry passed to the account of the Client in accordance with practice consistently followed by the Stock Broker across all its Clients shall be binding on the Client.
19. The Client shall indemnify and keep indemnified the Stock Broker harmless from and against all claims, demands, actions, proceedings, loss, damages, liabilities, changes and / or expenses that are occasioned or may be occasioned to the Stock Broker directly or indirectly as a result of bad delivery of shares / securities and / or a result of fake / forged / stolen shares / securities / transfer documents that are introduced or that may be introduced by or through the Client during the course of its dealings / operations on the Exchange.
20. The Stock Broker shall not be responsible for delay or default in the performance of its obligations due to contingencies beyond its control, such as fire, flood, civil commotion, earthquake, war, strikes, failure of the systems, failure of the internet links or government/regulatory action, exchange or market rulings, suspension of trading.
21. Right of set off : The Stock Broker shall have the right to set off the balances of the Client with the Stock Broker in any account(s) in any Segment / exchange with respect to money and securities. All monies, securities or other property which the Stock Broker may hold on client's account shall be held subject to a general lien for the discharge of the Client's obligations to the Stock Broker.
22. The client is responsible for all orders, including order that may be executed without the required margin in the client's account. If the client's order is executed despite the shortfall in available margin, the Client shall whether or not the Stock Broker intimated such shortfall in margin to the Client, instantaneously make up the shortfall either through delivery of shares in the event of sale or credit the required fund in the bank account via personal

cheque, cashier's cheque or money order or account transfer or any other approved mode.

23. The Client authorizes the Stock Broker to debit charges for depository services to the trading account.

24. Client availing Internet based trading (IBT) and securities trading through the use of wireless technology shall be liable to pay the NOW charges and will be debited from their respective account on a monthly basis.

**INVESTMENT ADVICE :**

25. The Client acknowledges that the Stock Broker shall not be liable to provide him with any legal, tax, investment or accounting advice or advice regarding the suitability or profitability of a security or investment.


26. The Client agrees that in the event of the Stock Broker or any employee or official of the Stock Broker providing any information, to the Client, the Client may act upon the same at the sole risk and cost of the Client, and the Stock Broker shall not be liable or responsible for the same.

27. The Client assumes full responsibility with respect to his investment decisions and transactions.

28. The Stock Broker/Sub-broker/authorised person/remisier its officers, directors, employees, agents will have no liability with respect to any investment decisions or transactions of the Client.

29. The Client shall always keep himself abreast of all requirements to be complied by him under various laws including the Foreign Exchange Management Act, 1999 wherever applicable and the rules, regulations, directions, circulars, notifications or guidelines issued under or pursuant to the relevant laws.

Provided further that stock broker may communicate any changes in writing or electronic form to the client, such changes are binding on the client. If no objection has been received by the stock broker within 15 days from the date of such communication.

|   |   |
|---|---|
| The stock broker's Signature/Authorised Signatory:    | The client's Signature/ Authorised Signatory:   |
| <b>For SW Capital Pvt. Ltd.</b>                       |   |
| Signature :<br>Director / Authorised Signatory        | Signature :  _____ |
| Signed by: _____                                      | Signed by: _____  |
| Title: _____  | Title: _____  |
| Name of the stock broker: <b>SW Capital Pvt. Ltd.</b> | Name of the client: _____   |

**ADDITIONAL CLAUSE FOR CROSS MARGINING – NSE**

**VOLUNTARY**

(Kindly note that these additional clause(s)/ documentation(s) are voluntary and at the discretion of the trading member and the client. The same are required in order to ensure smooth functioning of internet trading facility offered by the trading member. The client need not execute this document if he / she does not wish to use that facility. The client as the right to terminate the document, in which eventuality, the trading member may terminate the special facility)

**Cross Margining**

- a. The Stock Broker agrees to request NSCCL to extend cross margining facility to the Client in the Capital Market Segment subject to the terms and conditions as contained herein and the Client agree to avail the same.
- b. The parties agree to be bound by SEBI Circular No SEBI/DNPD/Cir-44/2008 dated 2nd December, 2008 and Circulars issued by SEBI from time to time with respect to cross margining.
- c. The parties agree to be bound by the Rules, Byelaws, Regulations and Circulars issued from time to time by NSEIL/NSCCL including provisions with respect to cross margining.
- d. The parties agree that cross margin benefit shall be for such positions in one or more trading segments/clearing segments and shall be subject to such terms and conditions as may be prescribed by NSEIL/NSCCL if any from time to time.
- e. In case of default by the Stock Broker arising out of the positions in one or more clearing segments, the Client agrees and understands that NSCCL may utilise the margins or any other monies furnished in any clearing segment by its Clearing Members, who are clearing and settling the transactions pertaining to the Client, in order to meet the obligations arising out of such positions.
- f. In case of default by the Stock Broker arising out of the positions in one or more clearing segments, the Client agrees and understands that the outstanding positions of the Stock Broker in any or all clearing segments may be closed out by NSCCL in accordance with Rules, Byelaws, Regulations and Circulars issued from time to time by NSCCL.
- g. In case where cross margin benefit is to be availed by the Client for transactions executed in Futures and Options Segment, the Client agrees that the Stock Broker shall request the Clearing Member of NSCCL to avail the cross margin benefit for such transactions on behalf of the Client and such cross margin benefit shall also be subject to the terms and conditions mentioned in Clearing Member and Trading Member agreement entered into between the Clearing Member and the Stock Broker through whom transactions are cleared and settled by the Stock Broker in Futures and Options Segment and terms and conditions mentioned hereinabove shall be applicable for cross margining in Futures and Options Segment also.
- h. The parties agree that notwithstanding anything contained in the constituent mandatory and non-mandatory constituent registration document to the contrary, the parties shall be bound by the above provisions with respect to cross margining.

Date: \_\_\_\_\_

Place: \_\_\_\_\_

|   |   |
|---|---|
| The stock broker's Signature/Authorised Signatory:<br><b>For SW Capital Pvt. Ltd.</b> | The client's Signature/ Authorised Signatory: |
| Signature : Director / Authorised Signatory   | Signature : _____                             |
| Signed by: _____  | Signed by: _____                              |
| Title: _____  | Title: _____                                  |
| Name of the stock broker: <b>SW Capital Pvt. Ltd.</b>                                 | Name of the client: _____                     |

Annexure II

VOLUNTARY

LETTER OF LIEN & SET OFF  
(Strike off where inapplicable)

Name: \_\_\_\_\_ Date: \_\_\_\_\_

Address: \_\_\_\_\_ Client Code: \_\_\_\_\_

To,

SW Capital Pvt. Ltd.

[Member of the National Stock Exchange of India Ltd. (NSE), Bombay Stock Exchange Ltd. (BSE), Metropolitan Stock Exchange of India Limited (MSEIL)][Depository Participant (CDSL)]

4TH Floor, Sunteck Centre, 37-40, Subhash Road, Vile Parle(E), Mumbai-400057

Dear Sir,

**Sub: Right to Exercise Set-Off / Lien**

I/We, \_\_\_\_\_, an individual / a sole proprietary concern/ a partnership firm / a body corporate/Trust, registered / incorporated, under the provisions of the Indian Partnership Act, 1932/ the Companies Act, 2013 or any relevant Act, having my /our residence / registered office at

\_\_\_\_\_ (hereinafter referred to as the "Client").

That I/we , am/are a Client of SW Capital Pvt. Ltd. (referred to as SWCPL) and have executed a separate Member Client Registration Document with each of the aforesaid company for investing/trading in securities and/or currencies admitted/permited for dealing on the respective Exchanges and also for investing/trading in those contracts admitted/ permitted for dealing on the Cash/Derivatives/Currency Derivatives Market Segment of the respective Exchanges.

That in respect to the aforesaid registrations, I/we hereby authorise SWCPL to exercise the right to set off the balances in my/our accounts with SWCPL in any segment/exchange with respect to monies, securities and/or currencies. All monies, securities, which SWCPL may hold on my/our account, shall be held subject to a general lien for the discharge of my/our obligations to SWCPL. The right of lien and set-off conferred to SWCPL by me/us are as follows:

1. All securities in the demat account opened (if any) with the depository Participant (namely SW Capital Pvt. Ltd.) shall be subject to lien for the discharge of any or all payments due to SWCPL from me/us or any other obligations in relation to trades with SWCPL and may be held by SWCPL as a security against default by me/us in respect of the services already availed of by me/us from SWCPL.
2. The enforcement of the lien aforementioned shall be at the sole and complete discretion of SWCPL
3. I/We agree that SWCPL shall have the right of set-off amongst my/our all trading account(s) maintained by with SWCPL.

Furthermore, the aforesaid lien/set-off conferred on SWCPL shall subsist even after the termination of the aforesaid Member - Client Relations with SWCPL until all obligations under the said exchanges are satisfied fully by me/us. The said right of lien/set-off shall be exercised by SWCPL.

Thanking you,

Yours truly, 

Client Signature: \_\_\_\_\_



**RUNNING ACCOUNT AUTHORISATION FOR ALL EXCHANGES**

**VOLUNTARY**

Date: \_\_\_\_\_

To,

Dear Sirs,

I / We am/are regularly Trading with you for Cash/F&O/CD Segment in BSE/NSE/MSEIL. I /we hereby authorized you to do following on my /our behalf:

- I/We hereby give my/our consent to maintain my/our account for fund and securities as RUNNING ACCOUNT.
- The Securities lying in my/our withhold A/c and credit balance lying in my / our account should be considered as margin deposits
- I/We request you to keep my/our Securities, Margin and funds with you to meet my/our pay in obligation in the Succeeding settlements in the same segment as well as other segments of BSE/NSE/MSEIL.
- The actual settlement of funds & Securities shall be done by you every
  - Monthly       Quarterly
 You will send quarterly/ monthly statement of Funds & Securities and I/We shall bring any discrepancy to your notice preferably within 7 working days from the receipt of Statements
- You shall transfer the Funds / securities lying in my / our credit within one working day of the request if the same are lying with you & within 3 working days from the request, if the same are lying with the clearing member / clearing corporation
- I/We further instruct that for my/our convenience I/we hereby authorise you to retain an amount of upto Rs. 10,000/- cash (net amount across segments and across stock exchanges) while settling my funds and securities
- I/We have noted the following :-
  1. This running account authorization will continue until it is revoked by me.
  2. The authorization shall be signed by me /us only and not by any power of attorney holder or by any authorized person.
  3. I/we may revoke the authorization at any time by giving written notice.

Yours faithfully,

Signature of Client \_\_\_\_\_

Name of the Client \_\_\_\_\_

Client Code: \_\_\_\_\_

To,

**SW Capital Pvt. Ltd.**

4th Floor Sunteck Center, 37-40,  
Subhash Road, Vile Parle (East),  
Mumbai - 400 057.

**VOLUNTARY**

Date: \_\_\_\_\_

**Declaration by the Client for understanding the terms and conditions and other information filled up in the trading account opening form**

I/We the sole holder/Guardians (in case of minor) hereby declares that I/we have been explained and understand the contents and information duly filled-up in the Account Opening Form and also have been explained and understood the various term(s) and condition(s) as laid down by NSE/BSE/MSEIL/Exchange/Broker/Sub-Broker/ Authorised Person.

This declaration is given to the fact that I/we have signed the Account Opening Form other than in English language.

|             |  |
|-------------|--|
| Client Name |  |
| Client Code |  |

Client Signature \_\_\_\_\_

Place: \_\_\_\_\_

ECN AUTHORISATION

VOLUNTARY

From: \_\_\_\_\_

\_\_\_\_\_

Date: \_\_\_\_\_

To,  
Dear Sirs,

**Sub: Mandate to issue contract notes in digital format & other communications (such as Daily Margin Statement, Statement of Funds & Securities, Account Confirmations, bills, Notices etc.) through an E-Mail**

I / We hereby agree and consent to accept the contract notes for transactions carried on by us/me on BSE/NSE/MSEIL with you, as the case may be, in terms of mandatory and voluntary client registration documents entered into between us/me, in digital form. Digital contracts issued by you as per the terms and conditions specified herein shall be binding on me/us. The mandate is subject to terms and conditions mentioned herein below.

Terms and conditions for issuance of contract notes in digital form between us :-

1. Digital Contract Notes in the format as may be prescribed by the Exchange from time to time will be mailed to me/us on the E-mail address provided to you.  
You can also send me/us my/our margin statement in digital form with contract notes.
2. I / we undertake to check the contract notes and bring the discrepancies to your notice of such issuance of contract notes. My /our non-verification or not accessing the contract notes on regular basis shall not be a reason for disputing the contract note at any time.
3. In case of any failure in system or errors in digital contract notes, contract notes will be issued in physical form, which shall be binding on the client.
4. Discrepancies, if any, should be sent on E-mail: [grievances@swcapital.in](mailto:grievances@swcapital.in)
5. Clients can view the digital contract notes using the username & password through the web-site apart from the contract notes sent to the client through mail.
6. The Digital contract notes will be archived at an interval of 3 months. If the client intends to view the digital contract notes for a period prior to 3 months client may request for the same in writing.
7. The contract notes will be issued in digital form in compliance with the guidelines issued by SEBI / Exchanges from time to time.
8. It will be client's responsibility to regularly check the mailbox and keeping the storage space for new email messages.
9. Any changes in the terms and conditions shall be intimated from time to time as per applicable laws, rules and regulations of Exchange/SEBI.
10. Non-receipt of bounced mail notification by the trading member shall amount to delivery of contract note at the e-mail ID of the client.
11. Digital Contract Notes will also be available at our Web-site [www.swcapital.in](http://www.swcapital.in)
12. Any change in the E-mail ID shall be communicated by us / me through a physical letter.

**Other Communications (such as Daily Margin Statement, Statement of Funds & Securities, Account Confirmations, bills, Notices etc.)**

You can send me various documents like Daily margin statement, Statement of funds & securities, Account confirmations, bills, notices etc. through an E-mail ID mentioned in this letter.

This instruction to issue digital contract notes & other communications are applicable with immediate effect. This instruction is several to all parties mentioned above.

My/Our E-mail ID \_\_\_\_\_

My/Our Alternative E-mail ID \_\_\_\_\_

Yours faithfully,



(Client Signature)

Client Code (customer ID): .....

**AUTHORITY TO DEBIT THE DEMAT ACCOUNT OPERATING CHARGES**

**VOLUNTARY**

To,

Dear Sirs,

This is to inform that

- a. I/We have a beneficiary account with SW Capital Pvt. Ltd. (DP) & with client id \_\_\_\_\_.
- b. Further I/We have a trading account with SW Capital Pvt. Ltd. (trading code as mentioned below) for investment and trading purpose.
- c. I/We find it extremely inconvenient to give cheques against your depository bills.

With respect to the above mentioned subject and consideration, I hereby authorize you to debit the trading account maintained with SW Capital Pvt. Ltd. for the debit charges payable to SW Capital Pvt. Ltd.

As Depository Participant for providing depository services. Any such sum debited to my/our account shall be binding on me/us.

Yours faithfully,

Signature of Client  \_\_\_\_\_

Name of the Client \_\_\_\_\_

Client Code: \_\_\_\_\_

**FOR NRI / FN**

**VOLUNTARY**

Name: \_\_\_\_\_

Address: \_\_\_\_\_

**TO WHOMSOEVER IT MAY CONCERN**

I/We agree to abide by all necessary rules and regulations introduced or amended from time to time by all statutory government bodies in India, and guidelines as prescribed by the Reserve Bank of India under the Foreign Exchange Management Act, 1999 (FEMA).

Further, in the process of opening my/our accounts with the Indian Bank/s, members of Indian Stock Exchange/s, and Depository Participants, I/We have complied with the current laws and will continue to do so as required for the proper maintenance of the aforesaid accounts.

In case there is any change in my/our status from Resident to Non-resident or vice versa, I/We shall inform all concerned agencies of the same and will abide by the procedures and requirement for the transition.

Signature 

Name: \_\_\_\_\_

LETTER OF AUTHORITY

VOLUNTARY

Date : \_\_\_\_\_

**SW Capital Pvt. Ltd.**

4th Floor Sunteck Center, 37-40,  
Subhash Road, Vile Parle (East),  
Mumbai - 400 057.

Dear Sir,

Sub: Letter of Authority -Cash/Currency/F&o Segment of BSE/NSE/MSEIL.

I/We are dealing in securities with you at BSE/NSE/MSEIL in Cash, F&O & Currency Derivatives Segment and in order to facilitate ease of operations, I/We authorise you as under:

1. I/we authorize you to setoff outstanding in any of my/our accounts against credits available or arising in my/our account(s) in other segment(s)/exchange(s)/DP maintained with you irrespective of the fact that such credits in the accounts may pertain to transactions in any segment of the Exchange or in any other exchanges.
2. I/We hereby authorise you to keep all the securities which we give you in margin including the payout of securities received by us for meeting margin / other obligation in stock exchange in whatever manner for meeting / pay-in obligation on our behalf or for giving the same as margin to the Stock Exchange/Clearing Corporation/Clearing Member.
3. I/ We request you to retain Securities in your Demat account for my/our margin/future obligations at all Exchanges, unless I/We instruct you to transfer the same to my/our account.
4. I/We request you to consider my/our telephonic instructions for order placing/order modification/order cancellation as written instruction and give me/us all the confirmation either by telephone or any other means. I/We am/are getting required details from contract notes issued by you.
5. Trading on all Exchanges is in Electronic Mode, based on VSAT, leased line, ISDN, Modem and VPN, combination of technologies and computer systems to place and route orders. We understand that there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, of any such other problem/glitch whereby not being able to establish access to the trading system/ network, which may be beyond your control and may result in delay in processing or note processing buy or sell orders either in part or in full. I/ We agree that I/ We shall be fully liable and responsible for any such problems / fault.
6. I/We confirm that I/we will never sublet the trading terminal on any term of connectivity, from my/our place to any other place without your intimation.
7. I/We am/are agreeable for inter-settlement transfer of securities towards settlements.
8. All fines/penalties and charges livied upon you due to my acts/deeds or transactions may be recovered by you from my account.

9. PAY-OUT OPTION

- Cheque  Fund Transfer  CMS  NEFT  RTGS  As per Group


10. STANDING INSTRUCTIONS

I/we authorised you to receive credits authomatically into my/our A/c:  Yes  No

Internet banking status  Yes  No

Thanking you,

Yours faithfully,

Signature of the Client 

Name of the Client:

Client Code: .....

HUF DECLARATION

VOLUNTARY

Date: \_\_\_\_\_

I hereby request you to open out Demat account with you, for our HUF. Being Karta of my family, I hereby declare that following is the list of family members in our HUF, as on date of Application, i.e. \_\_\_\_\_ .

| Sr. No. | Name of Family Members | Sex | Relations | Date of Birth |
|---------|------------------------|-----|-----------|---------------|
|         |                        |     |           |               |
|         |                        |     |           |               |
|         |                        |     |           |               |
|         |                        |     |           |               |
|         |                        |     |           |               |
|         |                        |     |           |               |
|         |                        |     |           |               |

I hereby also declare that the particulars given by me as stated above are true to the best of my knowledge as on date for making this Application to open Account.

I agree that any false/misleading information given by me or suppression of any material information will render my said account liable for termination and further action. Further, I agree that I will immediately intimate any death/s or birth/s in the family as it changes the constitution of the HUF.

Thanking you,

Yours truly,



Karta

(Affix stamp of HUF)

CONFIRMATION FOR HUF

I/We the co-parceners of \_\_\_\_\_ H.U.F., do hereby confirm that we have no objection to \_\_\_\_\_, who is the Karta of the aforesaid H.U.F. to issue standing instructions by means of either a Power of Attorney / Authorisation letter to **SW Capital Pvt. Ltd.**

We understand that this Power of Attorney / Authorised letter issued to **SW Capital Pvt. Ltd.** is for the explicit purpose of delivery of shares sold by the Karta on behalf of the H.U.F.

Further the aforesaid authorisation given to SW Capital Pvt. Ltd. is only for limited purpose as stated in POA executed with them.

Beneficiary Account No. \_\_\_\_\_

Name of Co-parceners

Signature

- 1. \_\_\_\_\_
- 2. \_\_\_\_\_
- 3. \_\_\_\_\_
- 4. \_\_\_\_\_
- 5. \_\_\_\_\_
- 6. \_\_\_\_\_

**Declaration to be given by partnership on Letter head of the firm**

Date:

**FORMAT**

To,

**SW Capital Pvt. Ltd.**

4th Floor Sunteck Center, 37-40, Subhash Road, Vile Parle (East),  
Mumbai - 400 057.

Dear Sir,

We, partners of the \_\_\_\_\_ have authorized to Mr./Ms./Mrs. \_\_\_\_\_, Partner and Mr./Ms./Mrs. \_\_\_\_\_ to sign and execute all the agreements, deeds, application forms, letters, undertakings, declarations and all other documents whichever is/are required to open Trading Account and DP account with **SW CAPITAL PVT. LTD.**

Further, We have authorized to Mr./Ms./Mrs. \_\_\_\_\_, Partner and Mr./Ms./Mrs. \_\_\_\_\_, Partner, severally/jointly to operate the above stated Trading Account and DP Account on behalf of the \_\_\_\_\_ (Name of Partnership firm).

**Specimen's signature of Authorised Signatories:**

| Sr. No. | Name | Designation | Signature |
|---------|------|-------------|-----------|
|         |      |             |           |
|         |      |             |           |
|         |      |             |           |

Partner 1 \_\_\_\_\_ Partner 2 \_\_\_\_\_ Partner 3 \_\_\_\_\_ Partner 4 \_\_\_\_\_

(Signature with stamp)

Date:

**FORMAT**

To,

**SW Capital Pvt. Ltd.**

4th Floor Sunteck Center, 37-40, Subhash Road, Vile Parle (East),  
Mumbai - 400 057.

Dear Sir,

We, refer to the trading account being opened/ opened with you in the name ..... and declare and authorize you as under.

We recognize that a beneficiary account cannot be opened with a depository participant in the name of a partnership firm as per regulations. To facilitate the operation of the above trading account with you and for the purpose of completing the securities transfer obligation pursuant to the trading operations, we authorize you to recognize the beneficiary account No..... with depository participant SW Capital Private Limited opened as a joint account in the names of the partners Mr....., Mr..... and Mr..... of the firm.

We agree that the obligations for shares purchased and/or sold by the firm will be handled and completed through transfer to/from the above mentioned account. We recognize and accept transfers made by you to the beneficiary account as complete discharge of obligations by you in respect of trades executed in the above trading account of the firm.

| Name of Partners | Signature |
|------------------|-----------|
|                  |           |
|                  |           |
|                  |           |
|                  |           |

**(Declaration to be given by LLP on Letter head of the firm)**

**FORMAT**

Date:

To,

**SW Capital Pvt. Ltd.**

4th Floor Sunteck Center, 37-40, Subhash Road,

Vile Parle (East), Mumbai - 400 057.

Dear Sir,

We refer to the trading account being opened/opened with you in the name \_\_\_\_\_ and declare and authorize you as under.

We agree that the obligations for shares purchased and /or sold by the firm will be handled and completed through transfer to/from the above-mentioned account. We recognize and accept transfers made by you to the beneficiary account as complete discharge of obligations by you in respect of trades executed in the above trading account of the firm.

We hereby authorize to Mr./Ms./Mrs. \_\_\_\_\_, Designated Partner and Mr./Ms./Mrs. \_\_\_\_\_, Designated Partner, severally/jointly to execute / sign and execute such documents, agreements, deeds, forms etc. which are necessary to open account with SW CAPITAL PVT. LTD. and to place order for buying and selling of securities, sell, purchase, transfer, endorse, negotiate, deal in securities and do other things that may be necessary to engage in business on behalf of the LLP.

Specimen's signature of Authorised Signatories:

| Sr. No. | Name | Designation | Signature |
|---------|------|-------------|-----------|
| 1       |      |             |           |
| 2       |      |             |           |

For.....

Designated Paterner

**FORMAT OF RESOLUTION**

**VOLUNTARY**

**ON LETTERHEAD OF COMPANY**

CERTIFIED TRUE COPY OF THE RESOLUTION PASSED AT THE MEETING OF THE BOARD OF DIRECTORS OF \_\_\_\_\_ (Company Name)

ON \_\_\_\_\_ (Date of board Meeting) at \_\_\_\_\_ (Office Address).

"RESOLVED THAT the company accorded request to open trading account with SW Capital Private Limited a Member of the Bombay Stock Exchange Ltd (BSE), National Stock Exchange of India Ltd.(NSE) and Metropolitan Stock Exchange of India Limited (MSEIL) in Cash, Future & Option and Currency Derivatives Segments, for the purpose of dealing in equities, equity derivatives, currency derivatives, debentures, debts and other products and Mr./Mrs \_\_\_\_\_ (Name of Director), Director and/or Mr./ Mrs. \_\_\_\_\_ (Name of Director), Director of the Company be and is/are hereby authorized \*severally/jointly to sign and execute all the forms, deeds, undertakings, letters and all other documents whichever is/are required for opening of the above stated trading account on behalf of the company.

Specimen's signatures of authorized Signatories are as follows:

| Sr. No. | Name | Designation | Specimen Signature |
|---------|------|-------------|--------------------|
| 1.      |      |             |                    |
| 2.      |      |             |                    |
| 3.      |      |             |                    |

"RESOLVED FURTHER THAT Mr./Mrs \_\_\_\_\_ (Name of Director), Director and/or Mr./Mrs. \_\_\_\_\_ (Name of Director), Director of the Company be and is/are hereby authorized \*severally/jointly to sign and execute such applications, instructions, undertaking, agreements, deeds, letters and all other requisite documents as may be deemed necessary to operate the above stated trading account on behalf of the company."

Certified True Copy

For \_\_\_\_\_ (Company Name)

Director






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**Confirmation of Receipt of executed documents**

**Client Code:** \_\_\_\_\_

Dear Sir,

I/We hereby acknowledge the receipt of duly executed copy of Account Opening Form, Rights and Obligations, RDD, Policies and Procedures and all other documents as executed by me/us.

Signature of Client:  \_\_\_\_\_

# SW Capital Pvt. Ltd.

MEMBER:

NATIONAL STOCK EXCHANGE OF INDIA LTD. (CM/F&O/CD)

BSE LIMITED (CASH/F&O/CD)

METROPOLITAN STOCK EXCHANGE OF INDIA LIMITED (CM/F&O/CD)

DEPOSITORY PARTICIPANT OF CDSL

**Registered Office:** 4th Floor Sunteck Centre, 37-40, Subhash Road,

Vile Parle (East), Mumbai - 400 057 • Tel.: +91-22 4268 7474

Fax: +91-22-4268 7436 • E-mail: [compliance@swcapital.in](mailto:compliance@swcapital.in) • CIN: U67120MH1994PTC081512

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## CLIENT REGISTRATION FORM

NAME : \_\_\_\_\_

UCC : \_\_\_\_\_

BRANCH CODE : \_\_\_\_\_